Page 1 of <u>3</u>	
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enalty shall be assessed nyone who files more than nte.	
	!
Yes No X	- 1

UNITED STATES HOUSE OF REPRESENTATIVES CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATI	EMENT	Form A For use by Members, officers, and employees	?*!!;3	Pa (1) (2) (2) (2)	age 1 of <u>2</u>
Name: Timothy H. Bishop	Daytime	Telephone: 631-696-6500	HAND OF	DELIV fice Use Only)	'ERED
Filer Statua Member of the U.S. State: NY House of Representatives District: D1	Officer Employ	yee	A \$200 penai against anyon		
Report Type Annual (May 16, 2011) Amendment		Termination Date:	30 days late.		
PRELIMINARY INFORMATION — ANSWER <u>EACH</u>	OF THE	SE QUESTIONS			
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? Yes	No 🔲	VI. Did you, your spouse, or a dependent child reportable gift in the reporting period (i.e., agg than \$335 and not otherwise exempt)? If yes, complete and attach Schedule VI.		Yes	No 🔀
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yaa, complete and attach Schedule II.	No 🔀	VII. Did you, your spouse, or a dependent child reportable travel or reimbursements for travel in period (worth more than \$335 from one source if yea, complate and attach Schedule VII.	n the reporting	Yes	No 🔽
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yea, complete and attach Schedule III.	No 🗌	VIII. Did you hold any reportable positions on of filing in the current calendar year? If yes, complete and attach Schedule VIII.	or before the date	Yes	No 🔀
IV. Did you, your spouse, or a dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	No 🔀	IX. Did you have any reportable agreement or an outside entity? If yes, complete and attach Schedule IX.	arrangement with	Yes	No 🔀
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes If yes, complete and attach Schedule V.	No 🔀	Each question in this part appropriate schedule attach			
EXCLUSION OF SPOUSE, DEPENDENT, OR TRUS	ST INFO	RMATION — ANSWER <u>EACH</u> O	F THESE Q	UESTION	S
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee excluded from this report details of such a trust benefiting you, your spouse, or			closed. Have you	Yes	No 🔀
EXEMPTION —Have you excluded from this report any other assets, "unearne they meet all three tests for exemption? Do not answer "yes" unless you have			child because	Yes	No 🛛

Name Timothy	H. Bishop	Page 2 of 3
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SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000. See examples below.

Exclude: Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

Keene State Approved Teaching Fee Legislative Pension Spouse Speech	Amount	Туре	Source
State of Maryland Legislative Pension Civil War Roundtable (Oct. 2nd) Spouse Speech Ontario County Board of Education Spouse Salary	\$6,000	Approved Teaching Fee	Keene State
Ontario County Board of Education Spouse Salary	\$9,000		***************************************
Citatio Codin) Doctor - Lateral -	\$1,000		Civil War Roundtable (Oct. 2nd)
Faculty Student Assoc of NY Children's School Spouse Salary \$11	NA	Spouse Salary	Ontario County Board of Education
Children's School Spruse Salary \$11	4,298.2	Spouse Salary	culty Student Assoc. of NY
	6,000.00	Spouse Salary	children's School
		-	
	45,00	···-a.	<u> </u>
	-		

SCHEDULE III—ASSETS AND "UNEARNED" INCOME

Name Timosthy Bishop Page 3 of 3

SCHEDULE III—ASSETS AND		511		· · ·			- 11	<u> </u>																							
BLOCK A						BLO												CK C							OCK						BLOCK E
Asset and/or Income Source				V	alu	e o	f A	sse	t			ľ	Type of Income				Amount of Income							Transaction							
Idantify (a) aach assat held for investment or production of income with a fair market value axceading \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearnad" income during the year. Provide complete names of stocks and mutual funds (do not use ticker symbols.) For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the	re m pl If ye ge	por etho eas an a	ting od o e sp asse and ateo	ye. othe peci et wa I is	ar. er ti fy th as s inc	If you han ne m sold slude	ou i fair neth duri	use r m od i ing t	at of a varked used the reference to the	valua et va d. epo cau	ationalue erting se	n e, g it	reti you tha (su ma Div gsi dis if ti	irem u to at g uch vide ins, scios he a	ent choo ene as 4 chec ends eve sed	acco se : ate 01(l k , ir n if es i	spectary tax () p the nter rei nco	s that cific c-def lans "No est, est, nves me.	hat apply. For at do not allow investments or ferred income or IRAs), you one" column. snd cspitsl sted, must be. Check "None" no income durd.	yo tha as the ind ch Di ev	u to at ge 401 e "Na licat ecki vide en i	chenera (k) pone" de ti ng nds	oose ate t lans coli he the the inve	e sp ax-c s or umn cate app eres stec heck	ecifidefer IRA . For egor orop st, a d, m	rred s), y r all y o riate nd o ust one'	at do nvest inco rou n I oth of in e bo cspi be o	tmer may er a com ox t itsi (nts ; (such che- isset ne l belo gsin iose	or ch ck ts, by w. us,	Indicate if the asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
account that axcaads the reporting thrasholds. For retirement accounts which are not self-directed, provida only the name of the institution holding the account and its valua at the end of the reporting period. For rental or other real property held for invastment, provide a complete address.	٨	в	С	D	E	F	G	н		J	ĸ				-				(ө)	-	B	ш	IV	v	VI	VII	VIII	ıx	×	ХI	If only a portion of an asset is sold,
For an ownership interest in a privataly-held business that is not publicly traded, state the nama of tha business, the nature of its activities, and its geographic location in Block A. Exclude: Your parsonal residance, including sacond homes and vacation homes (unless there was rantal income during the reporting pariod); any deposits totaling \$5,000 or lass in a personal chacking or saving accounts; and any financial interest in, or income darived from, a federal retiramant program, including tha Thrift			0	8	000	0000	\$500,000	\$1,000,000	2,000,000	2000 000	\$50,000,000	000					co.	IND TRUST	icome itnership Income or Farm Income)					0	8	000	000	\$1,000,000	\$,000,000	0	please indicate as follows: (S) (partial) See below for example. P,
If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the far left. For a detailed discussion of Schedule III requirements, please refer to the instruction booklet.	None	\$1 - \$1,000	\$1,001 - \$15,00	\$15,001 \$80,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500	\$500,001 \$1.0	1		100	Over \$50, 11 OC	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAIMS	EXCEPTED/BLIND TRUST	Other Type of Income (Specify: e.g., Pertnership Income	None	\$1 \$200	\$201 - \$1,000	\$1,001 - \$2,51	\$2,501 - \$5,070	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$1(-1,000	69	\$1,000,000,1\$	Over \$5,000,000	S, E
SP, SP Mega Corp. Stock DC, Examples: Simon & Schuster JT 1st Bank of Paducah, KY Accounts		Inc	defin	ite	X	X								X	X		X		Royalties				X		x			Х			S (partial)
TIAA TAOVITAM AUT							Χ	,																							
CREF " "	_				χ			X																							
SP CREF " "					X																										
OT MET LIFE INSURGINE			X	11.14							_																				

UNITED STATES HOUSE OF REPRESENT CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATE		FORM A Page 1 of 6 - Ed For use by Members, officers, and employees 2	ISLATIVE RESOURCE CENTER II MAY 19 PM 12: 56
Steve J. Israel (Full Name)		J.S 202-225-3335 (Daytime Telephone)	MAY 1 6 201 (Office Use Only)
Filer Status Member of the U.S. State: NY House of Representatives District: 02		ficer Or Employing Office: nployee	A \$200 penalty shall be assessed against anyone who files
Report Type Annual (May 15) Amendment	☐ Terminatio	Termination Date: n	more than 30 days late.
PRELIMINARY INFORMATION ANSWER EACH	OF THESE QU	JESTIONS	
Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yee, complete and attach Schedule I.		Did you, your spouse, or a dependent child receive any reports the reporting period (i.e., aggregating more than \$335 and not exempt)? If yes, complete and attach Schedule VI.	
Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yee, complete and attach Schedule II.	Yes ☐ No ✔ V	Did you, your spouse, or a dependent child receive any reports 11. or reimbursements for travel in the reporting period (worth mo \$335 from one source)? If yes, complete and attach Schedule VII.	
Did you, your apouae, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐ V	Did you hold sny reportable positions on or before the date of current calendar year? If yes, complete and attach Schedula VIII.	filing in the Yes No
Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period?	Yee No 🗹 D	Did you have any reportable agreement or arrangement with a entity?	n outside Yes No 🗸
V. Did you, your apouae, or a dapendent child have any reportable liability (more than \$10,000) during the reporting period?	Yes ☑ No 🗌	Each question in this part must be answere schedule attached for each "Yes" response.	
If yes, complete and attach Schedule V.	ICT INCODMAT		
Trusts- Details regarding "Qualified Blind Trusts" approvidiaclosed. Have you axcluded from this report details.	ved by the Committee	on Ethics and certain other "excepted trusts" need not be	
		me, transactions, or liabilities of a epouse or dependent ch unless you have first consulted with the Committee on Et	

SCHEDULE I - EARNED INCOME

Name Steve J. Israel

Page 2 of 6

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honorana; list only the source for other spouse earned income exceeding \$1,000.

Source	Туре	Amount
Suffolk County Family Court	Spouse Salary	n/a

Name Steve J. Israel

Page 3 of 6

	BLOCK A	BLOCK B	BLOCK C	BLOCK D	BLOCK E
kdentify (chair mark (b) eny of more than Provide control of the self-direct exercised asset held retirement the Institute porting For rental eddress. For en own publically activities, exclude: vacation	Ae end other retirement plans (such es 401(k) plans) that are sted (i.e.,plans in which you have the power, even if not it, to select the specific investments), provide the value for each id in the eccount that exceeds the reporting thresholds. For it accounts which are not self-directed, provide only the neme of ution holding the account and its value at the end of the	Year-End Value of Asset at close of reporting yeer. If you use e valuetion method other than fair market velue, please specify the method used. If en asset wee sold end is included only because it is genereted income, the value ehould be "None."	Type of Income Check all columns that epply. For retirement accounts that do not allow you to choose epecific investments or that generete tax-deferred income (euch as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital galns, even if reinvested, must be dieclosed as income. Check "None" if the asset generated no Income during the reporting period.	Amount of Income For retirement accounts that do not ellow you to choose epecific investments or that generete tax-deferred income (euch as 401(k) plans or IRAe), you mey check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capitel geins, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.	Transaction Indicate if asset hed purchases (P), eales (S), or exchangee (E) exceeding \$1,000 In reporting yeer.
	NYS Comptroller's office	None	Other: (Please specify)	\$2,501 - \$5,000	
SP	NYS Retirement Account (not self-directed)	\$15,001 - \$50,000	n/a	n/a	
	NYS Retirement Account (not self-directed)	\$15,001 - \$50,000	n/a	n/a	

Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
SP	Xpress Loan	2009	Student Loan	\$10,001 - \$15,000
DC	Sallie Mae	2009	Student Loan	\$50,001 - \$100,000
SP	Citibank	December 2010	Credit Card consolidation (revolving)	\$15,001 - \$50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Steve J. Israel

Page 5 of 6

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than \$335 received by you, your epouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that wae not at the eponeor's expense. Disclosure is required regardless of whether the expensee were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationehip to you.

Source	Date(s)	Point of Departure DestinationPoint of Return		Food? (Y/N)	Was a Family Member Included? (Y/N)	Days no <u>t at</u> sponsor's expense
State of Israel (MECEA)	Feb. 14-18	NYC-Tel Aviv-Eilat-Jerusalem- Tel Aviv-NYC	Y	Y	Υ	none

Name Steve J. Israel Page 6 of 6

Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III	In late 2010, I was advised of unclaimed funds owed to me by the New York State Comptroller's Office. It is my understanding that these funds were the result of 60 shares of Walt Disney Company stock purchased through a Merrill Lynch brokerage in approximately 1987. When the brokerage closed, I was unable to retrieve the stock. I learned only recently that the stock was remitted to the New York State Comptroller's Office in 1999. The Comptroller's Office sold the stock in late 2010; the funds, totaling \$2,804.18, were restored to me on December 16, 2010.	NYS Comptroller

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UNITED STATES HOUSE OF REPRESENTATIVES CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATE	MENT	Form A For use by Members, officers, and employees	HAND DELIVERED
Name: Peter T. King	Daytime	Telephone: 202, 225, 7896	2011 MAY 16 AM 11: 40 U.S. HOUSE OF REPRESENTATIVES MODIFICE (Office Use Only)
Filer Statua Member of the U.S. State: NY District: District: District: Amendment	Officer Employ		A \$200 penalty shall be assessed against anyone who files more than 30 days late.
PRELIMINARY INFORMATION — ANSWER EACH	OF THES	SE QUESTIONS	
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yea, complete and attach Schedule I.	No 🗌	VI. Did you, your spouse, or a dependent child reportable gift in the reporting period (i.e., agg than \$335 and not otherwise exempt)? If yea, complete and attach Schedule VI.	receive any regating more Yes No
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yea, complete and attach Schedule II.	No	VII. Did you, your spouse, or a dependent child reportable travel or reimbursements for travel in period (worth more than \$335 from one source if yea, complete and attach Schedule VII.	n the reporting Yes No
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	No X	VIII. Did you hold any reportable positions on of filing in the current calendar year? If yes, complete and attach Schedule VIII.	r before the date Yes No No
IV. Did you, your spouse, or a dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	No	IX. Did you have any reportable agreement or a an outside entity? If yes, complete and attach Schedule IX.	Yes No No
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes If yes, complete and attach Schedule V.	No	Each question in this part in appropriate schedule attached	
EXCLUSION OF SPOUSE, DEPENDENT, OR TRUS	T INFOR	MATION — ANSWER <u>EACH</u> O	FTHESE QUESTIONS
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee excluded from this report details of such a trust benefiting you, your spouse, or			closed. Have you Yes No
EXEMPTION —Have you excluded from this report any other assets, "unearned they meet all three tests for exemption? Do not answer "yes" unless you have fire			child because Yes No No

Name Peter T. King	 Page 2 of 4

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000. See examples below.

Exclude: Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act. Source **Type** Amount Approved Teaching Fee \$6,000 Keene State Legislative Pension \$9,000 State of Maryland Examples: Spouse Speech \$1,000 Civil War Roundtable (Oct. 2nd) Spouse Salary Ontario County Board of Education

SCHEDULE III—ASSETS AND "UNEARNED" INCOME

Name Petert. King

 $_{Page}3$ of +

BLOCK A	T			_	E	3LO	CK I	В						_			BLC	CK	С	Г		_	_		оск	D				T	BLOCK E
Asset and/or Income Source	Value of Asset											Т				come			Α	ľ	Transaction										
Identify (e) each esset held for investment or production ot income with a fair market velue exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "uneerned" income during the yeer. Provide complete nemes of stocks end mutuel funds (do not use ticker symbols.) For all IRAs and other retirement plans (such as 401(k) plens) that ere self-directed (i.e., plans in which you heve the power, even if not exercised, to select the specific investments), provide the value for eech asset held in the eccount thet exceeds the reporting thresholds. For retire-	re m pl If ye ge	por ethi eas an a	ting od e sp asse and rate	ye othe Deci et w	ar. er ti fy th as s inc	If y han ne n sold slude	ou fai neth dur ed	use ir m nod ing only	at arkinarkinase use the be	valu et v d. repe	uatio valu ortir use	on le, ng it	rel yo tha (su ma Di ga dis	tirent ou to at g uch ay vide ina sclo	ment cho gene as che end end seed asse	cc accepted 401 ck a, i en l as	olumicound special spe	ns the cific x-de blans "N rest, inve	that apply. For net do not allow investments <u>or</u> eterred income s or IRAs), you lone" column. , and capital eated, muat be . Check "None" no income dur-	yo tha as tha ind ch Di ev as	u to at go 401 a "N dica lecki vide en i	ener (k) j one te t ing enda f re	oose ate t plans col the the a, int inve	e sp tax-o s or umn cate app teres stec hecl	deter IRA: 1. Fo egor prop et, a	c in red s), y r ell y of riate nd c ust one"	vest inco ou n other f in- e bo capit	mer nay er a: com ox t tal g	allownts of (successets) allowed by the bollowning inserts incomparing the comparing t	e h k s, y v. s,	Indicate if the asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
ment accounts which are not self-directed, provide only the name of the institution holding the eccount and its value et the end of the reporting period. For rental or other real property held for investment, provide a complete eddress. For en ownership interest in a privetely-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic locetion in elock A.	A	В	С	D	E	F	G	н		J	К	F							Farm Income)	-	11	Ξ	ľ	٧	Vi	VII	VIH	ix	X	ΧI	It only a portion of an asset is sold, please indicate as tollows: (S) (partial)
tion in elock A. Exclude: Your personal residence, including second homes and vecation homes (unless there was rentel income during the reporting period); any deposits totaling \$5,000 or less in a personel checking or seving eccounts; end any finenciel interest in, or income derived from, a federel retirement program, including the Thrift Sevings Plan. It you so choose, you may indicete that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optionel column on the far left. For a detailed discussion of Schedule III requirements, please refer to the instruction booklet.	None	\$1 - \$1,000	Ō	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$25,000	\$250,001 - \$500,000	2500,001 - \$1,730,000	\$1.000.001 5,000,000	\$5,000,001 - \$25, XX, 000	\$25,000,001 - \$50,000,000	Over \$50,000,000	NONE	DAVIDENDS	RENT	INTEREST	CAPITAL GAILIS	EXCEPTED/BLIND TRUST	Other Type of Income (Specify: e.g., Pertnership Income or	None	\$1 - \$200	\$201 - \$1,000	\$1,001 - \$2,5	\$2,501 - \$5,000	\$5,001 - \$15,070	\$15,001 - \$50,000	됩	69	\$1,000,001 - \$,000,000	Over \$5,000,0:-0	See below for example. P, S, E
SP, SP Mega Corp. Stock			Ī		Х									X			X						X								S (partial)
DC, Examples: Simon & Schuster	ļ	Inc	defir	ite		X													Royalties						X			х.			
T Chase Bank T Nassau County Credit Union T Astoria Federal Savings			X		X										X	X						X									

SCHEDIII E VIII—BOSIIII	IN
SCHEDULE VIII—POSITION	J110

Name Peter T. King

Page 4

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

Position	Nsme of Organization
Board Member	Notre Dame Law Association (Alumni Association of Notre Dame Law School)
	,

SCHEDULE IX—AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Psrties To	Terms of Agreement

UNITED STATES HOUSE OF REPRESENTATIVES CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATE	MENT	Form A For use by Members, officers, and employees	LEGISLATIVE RESOURCE CENTER 2011 MAY 13 PM 2: 59
Name: Carolyn McCarthy	Daytime	Telephone: 516–873–9087	U.S. HOUSE DE REPRISENTATIVES HAND DELIVERED
Filer X Member of the U.S. State: New York House of Representatives District: 4th Report Type X Annual (May 16, 2011) Amendment	Officer Employ	Termination Date:	(Office Use Only) A \$200 penalty shall be assessed against anyone who files more than 30 days late.
1. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule, I.	OF THES	VI. Did you, your spouse, or a dependent child reportable gift in the reporting period (i.e., agg than \$335 and not otherwise exempt)? If yes, complete and attach Schedule VI.	
Il-Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	No X	VII. Did you, your spouse, or a dependent chile reportable travel or reimbursements for travel in period (worth more than \$335 from one source if yes, complete and attach Schedule VII.	in the reporting
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	No	VIII. Did you hold any reportable positions on of filing in the current calendar year? If yes, complete and attach Schedule VIII.	or before the date
IV. Did you, your spouse, or a dependent child purchase, sell, of exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	No	IX. Did you have any reportable agreement or an outside entity? If yes, complete and attach Schedule IX.	arrangement with Yes No X
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes Yes	No	Each question in this part appropriate schedule attach	must be answered and the ed for each "Yes" response.
EXCLUSION OF SPOUSE, DEPENDENT, OR TRUS	T INFOR	MATION — ANSWER <u>EACH</u> C	F THESE QUESTIONS
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee excluded from this report details of such a trust benefiting you, your spouse, or			sclosed. Have you Yes No X
EXEMPTION —Have you excluded from this report any other assets, "unearned they meet all three tests for exemption? Do not answer "yes" unless you have f	d" income, trai first consulted	nsactions, or liabilities of a spouse or dependent with the Committee on Ethics.	child because Yes No X

Name	Carolyn	McCarthy	Paga 1 of 1

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000. See examples below.

Exclude: Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

Source	Туре	Amount
Keene State	Approved Teaching Fee	\$6,000
	Legislative Pension	\$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	\$1,000
	Spouse Salary	NA
NONE		
	Keene State State of Maryland Civil War Roundtable (Oct. 2nd) Ontario County Board of Education	Keene State Approved Teaching Fee State of Maryland Legislative Pension Civil War Roundtable (Oct. 2nd) Spouse Speech Ontario County Board of Education Spouse Salary

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SCHEDULE II - PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Ethics. A green envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
	Association of American Associations, Washington, DC	Speech	Feb. 2, 2010	\$2,000
xampl e s:	XYZ Magazine	Article	Aug. 13, 2010	\$500
	NONE		- 4	
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BLOCK A					Е	BLO	CK E	3									BLO	CK	С					BL	оск	D					BLOCK E
Asset and/or Income Source				٧	alu	e o	f A	SSE	et						T	уре	e of	In	come	Amount of Income								Transaction			
Identify (e) each asset held for investment or production of income with a fair market value exceeding \$1,000 et the end of the reporting period, and (b) any other reporteble asset or sources of income which generated more than \$200 in "unearned" income during the yeer. Provide complete names of stocks and mutual funds (do not use ticker symbols.) For all IRAs and other retirement plans (such es 401(k) plans) that ere self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for eech asset held in the eccount that exceeds the reporting thresholds. For retire-	re m pl If ye ge	portethoeasean a	ting od o e sp asse and ate	ye othe eci et w	ar. er ti fy th as s inc	If y han ne n sold	ou fair neth duri	use r m lod ing	at a warke use the i be	valu et v d. repo	uatio valu ortin use	on e, ng it	rei yo tha (su ma Di ga dia if t	tirentu to at guch ay ina, ay ina, ay ina, ay ina, acida at a cida	nent cho gene as 4 che ands ava sed	accorate 401(ck s, i an i as	spe spe ta (k) f the intai f re ince	ts the cific and	that apply. For nat do not allow investments or eferred income s or IRAs), you hone" column.; end capital ested, muat be a. Check "None" no income durad.	yo tha as the ine ch Di ev	u to at go 401 e "N dica ecki vida en i inc	o che ener (k) j one te t ing inda if re	oose ate clan col he the inve	e sp tax-c s or lumr cate app tere stec	ounts defer IRAs i. Fo egory prop at, a d, mi k "Ne	c in red s), y r all y o riate nd o uat one"	vesto inco ou m othe f ince bo capit be d	mer may er a com ox b tai c	nts (sucched) sset to elow gain:	or ch ck s, by w. a.	Indicate if the asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
ment eccounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period. For rental or other real property held for investment, provide a complete eddress. For an ownership interest in a privetely-held business that is not publicly traded, state the name of the business, the nature of its ectivities, and its geographic location in Block A. Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or saving eccounts; end eny financial interest in, or income derived from, e federal retirement program, including the Thrift found to the federal retirement program, including the Thrift founds of the program of the federal retirement program of that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the far left. For a detailed discussion of Schedule III requirements, please refer to the instruction booklet.	None	\$1 - \$1,000 w	\$1,001 – \$15,000	\$15,001 \$50,000	\$50,001 – \$1C,000	\$100,001 - \$250,000 Th	\$250,001 – \$500,000	\$500,001 - \$1,1XY1,000	\$1,000,001 – \$5,000,000	\$5,000,001 \$2-2,000,000	\$25,000,001 - \$50,000,000	Over 150/3/1,000	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAIAS	EXCEPTED/BLIND TRUST	Other Type of Income (Specify: e.g., P≋tnership Income or Farm Income)	None	\$1-\$200	\$201 - \$1,00C	\$1,001 – \$2,5¢	\$2,501 – \$5,000			윒		*1,000,001 - \$4,000,000	Over \$5,000,00 0 ≥	If only a portion of an asset is sold, please indicate as follows: (S) (partial) See below for example. P, S, E
SP, SP Mega Corp. Stock	┢				х			-						X			Х						X					+			S (partial)
DC, Examples: Simon & Schuster		inc	lefin	ite															Royalties									X			ļ
JT 1st Bank of Paducah, KY Accounts	_					X			_		_				Х					_					X	_		\dashv		_	_
See Attached Brokerage Statements Congressional Federal Credit Union				-	x							·				x						x									

CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings

HON CAROLYN MCCARTHY

The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the period shown above which may not reflect the value that could actually be obtained in the market. See "Pricing of Securities" in the Disclosures section at the end of this statement.

Estimated annual income and estimated yield for certain securities can include return of principal or capital gains which could overstate such estimates. Estimated yield and estimated annual income are estimates and the actual income or yield may be lower or higher than the estimates. Estimated yield reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate. If you hold structured products, please refer to the Special Considerations Regarding Structured Products section of the Disclosure section.

Gain/loss information is provided for informational purposes only and should not be used for tax preparation. Please refer to the gain/loss section of the disclosures for important information about gain/loss reporting.

From January through September, realized gain/loss information will be shown only for trades settling in the current month, and/or certain adjustments (to previously closed lots) made in the current month. From October through December, in order to provide information for year-end investment planning, complete year to date realized gain/loss detail will be displayed for trades settling through the last business day of the year.

CASH, DEPOSITS AND MONEY MARKET FUNDS

Description	Value	Estimated Annual Income	7-Day Current Yield %	Annual Percentage Yield %
CASH	\$321.07			
MORGAN STANLEY BANK N.A. #	9,543.73	14.00		0.150
	Percentage of Assets %	Market Value		Estimated Annual Income Accrued Interest
CASH, DEPOSITS AND MONEY MARKET FUNDS	3.2%	\$9,864.80		\$14.00 \$0.00

Bank deposits are at Morgan Stanley Bank, N.A. and Morgan Stanley Private Bank, National Association (Members FDIC), affiliates of Morgan Stanley Smith Barney. Cash holdings shown exclude cash holdings in custody at another firm for which you receive a separate statement.

STOCKS

COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ABBOTT LABORATORIES (ABT)	3/15/07	29.000	\$53.530	\$1,552.38	\$1,389.39	\$(162.99) LT A		
	1/18/08	5.000	59.890	299.45	239.55	(59.90) LT A		
	7/9/08	10.000	57.457	574.57	479.10	(95.47) LT A		
	Total	44.000		2,426.40	2,108.04	(318.36) LT	77.44	3.67
Share Price: \$47.910; Next Dividend F	Payable 02/11							
ALLSTATE CORP (ALL)	3/24/06	18.000	53.191	957.43	573.84	(383.59) LT A		
	3/15/07	17.000	59.520	1,011.84	541.96	(469.88) LT A		
	11/5/08	21.000	29.330	615.92	669.48	53.56 LT A		
	Total	56.000		2,585.19	1,785.28	(799.91) LT	44.80	2.50
Share Price: \$31.880; Next Dividend P	Payable 01/03/11							
								CONTINUED

CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings

HON CAROLYN MCCARTHY

STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ALTRIA GROUP INC (MO)	4/10/08	3.000	21.491	64.47	73.86	9.39 LT A		
	3/10/09	20.000	16.188	323.75	492.40	168.65 LT A		
	3/11/09	44.000	16.439	723.33	1,083.28	359.95 LT A		
	5/15/09	33.000	17.122	565.02	812:46	247.44 LT A		
	Total	100.000		1.676.57	2,462.00	785.43 LT	152.00	6.17
Share Price: \$24.620; Next Dividend Pa	yable 01/10/11							
AMEREN CORP (HLDG CO) (AEE)	9/11/07	5.000	50.586	252.93	140.95	(111.98) LT A		
•	9/12/07	10.000	51.322	513.22	281.90	(231.32) LT A		
	9/14 <i>/</i> 07	10.000	51.946	519.46	281.90	(237.56) LT A		
	9/26/07	10.000	52.943	529.43	281.90	(247.53) LT A		
	9/27/07	15.000	53.069	796.04	422.85	(373.19) LT A		
	Total	50.000		2.611.08	1,409.50	(1,201.58) LT	77.00	5.46
Share Price: \$28.190; Next Oividend Pa	yable 03/11							
AT&T INC (T)	3/24/06	59.000	27.370	1.614.83	1,733.42	118.59 LT A		
	3/15/07	15.000	36.950	554.25	440.70	(113.55) LT A		
	Total	74.000		2,169.08	2,174.12	5.04 LT	127.28	5.85
Share Price: \$29.380; Next Dividend Pa	yable 02/11							
AXA ADS (AXAHY)	3/24/06	3.000	33.240	99.72	49.95	(49.77) LT A		
	3/15/07	12.000	39.291	471.49	199.80	(271.69) LT A		
	10/3/07	7.000	44.876	314.13	116.55	(197.58) LT A		
	4/2/08	9.000	38.887	349.98	149.85	(200.13) LT A		
	7/22/08	12.000	29.313	351.75	199.80	(151.95) LT A		
	11/6/08	17.000	18.769	319.07	283.05	(36.02) LT A		
	Total	60,000		1,906.14	999.00	(907.14) LT	35.10	3.51
Share Price: \$16.650								
CALPINE CORP NEW (CPN)	6/1/09	57.000	14.465	824.48	760.38	(64.10) LT A	_	
Share Price: \$13.340								
CON PACIFIC RY LTD NEW (CP)	7/22/08	13.000	64.691	840.98	842.53	1.55 LT A	13.95	1.65
Share Price: \$64.810: Next Oividend Pa	yable 01/31/11							
CENOVUS ENERGY INC COM (CVE)	8/29/08	15.000	36.271	544.07	498.60	. (45.47) LT A		
	9/8/08	20.000	32.793	655.86	664.80	8.94 LT A		

CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings

HON CAROLYN MCCARTHY

STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield 9
	Total	35.000		1,199.93	1,163.40	(36.53) LT	27.41	2.35
Share Price: \$33.240; Next Dividend Payable	e 03/11							
CISCO SYS INC (CSCO)	3/15/07	27.000	25.790	696.33	546.21	(150.12) LT A		
	4/23/07	55.000	26.576	1,4 6 1.67	1,112.65	(349.02) LT A		
	4/9/09	27.000	17.869	482.47	546.21	63.74 LT A		
	Total	109.000		2,640.47	2,205.07	(435.40) LT		_
Share Price: \$20.23D								
COCA COLA CO (KO)	10/22/07	18.000	58.932	1,060.78	1,183.86	123.08 LT A		
	4/7/08	15.000	60.449	906.74	986.55	79.81 LT A		
	9/11/08	5.000	53.786	268.93	328.85	59.92 LT A		
	Total	38.000		2,236.45	2,499.26	262.81 LT	66.88	2.67
Share Price: \$65.770; Next Dividend Payable	e 03/11							
CONOCOPHILLIPS (COP)	3/24/06	22.000	61.830	1,360.27	1,498.20	137.93 LT A		
	3/15/07	16.000	67.040	1,072.64	1,089.60	16.96 LT A		
	Total	38.000		2,432.91	2,587.80	154.89 LT	83.60	3.23
Share Price: \$68.100; Next Dividend Payable	e D3/11							
CONS STAPLES SEL SECT SPOR FD (XLP)	6/29/09	90.000	23.190	2,087.10	2,637.90	550.80 LT A	68.67	2.60
Share Price: \$29.31D; Next Dividend Payable	e D3/11							
OIAGEO PLC SPON ADR NEW (DEO)	7/21/08	7.000	72.784	509.49	520.31	10.82 LT A		
	11/6/08	2.000	58.660	117.32	148.66	31.34 LT A		
	Total	9.000	•	626.81	668.97	42.16 LT	21.28	3.18
Share Price: \$74.33D								
DIAMOND OFFSHORE ORILLING INC (DO)	12/26/07	10.000	145.842	1,458.42	668.70	(789.72) LT A		
	12/31/07	10.000	142.914	1,429.14	668.70	(760.44) LT A		
	1/12/09	7.000	58.609	410.26	468.09	57.83 LT A		
	Total	27.000		3,297.82	1,805.49	(1,492.33) LT	13.50	0.74
Share Price: \$66.870; Next Dividend Payable	e D3/11							
EATON VANCE TAX-MNGO GLBL (ETW)	5/12/10	400.000	12.617	5,046.96	4,900.00	(146.96) 5T A	484.00	9.87
Share Price: \$12.250; Next Dividend Payable	D3/11							
ENCANA CORP (ECA)	8/29/08	15.000	38.515	577.72	436.80	(140.92) LT A		
	9/8/08	20.000	34.822	696.43	582.40	(114.03) LT A		
	0.000	20.000	37.022	000.10	332,13	(1.1.00) 2.77		ON

CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings

HON CAROLYN MCCARTHY

STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	Total	35.000		1,274.15	1,019.20	(254.95) LT	28.00	2.74
Share Price: \$29.120; Next Oividend Paya	nble 03/11							
ENERGY SEL SECT SPOR FD (XLE)	8/20/09	100.000	50.817	5,081.74	6,825.00	1,743.26 LT A	99.70	1.4€
Share Price: \$68.250; Next Oividend Paya	ble 03/11							
FIRST TR ISE REVERE NAT GAS (FCG)	3/18/10	100.000	18.177	1,817.74	1,968.00	150.26 5T A		
·	4/5/10	100.000	18.277	1,827.74	1,968.00	140.26 5T A		
	Total	200.000		3,645.48	3,936.00	290.52 5T	9.80	0.24
Share Price: \$19.680								
FRANCE TELECOM (FTE)	9/18/08	12.000	29.020	348.24	252.96	(95.28) LT A		
	10/2/08	11.000	28.058	308.64	231.88	(76.76) LT A		
	1/22/09	6.000	24.898	149.39	126.48	(22.91) LT A		
	1/27/09	7.000	24.304	170.13	147.56	(22.57) LT A		
	Total	36.000		976.40	758.88	(217.52) LT	53.17	7.00
Share Price: \$21.080								
GILEAD SCIENCE (GILD)	4/18/08	24.000	51.515	1,236.36	869.76	(366.60) LT A		-
	11/18/08	8.000	45.253	362.02	289.92	(72.10) LT A		
	4/7/09	10.000	47.515	475.15	362.40	(112.75) LT A		
	Total	42.000		2,073.53	1,522.08	(551.45) LT		_
Share Price: \$36.240								
GLAXOSMITHKLINE PLC AD5 (G5K)	3/24/06	7.000	53.601	375.21	274.54	(100.67) LT A		-
	3/15/07	22.000	54.790	1,205.38	862.84	(342.54) LT A		
	6/5/07	35.000	51.798	1,812.94	1,372.70	(440.24) LT A		
	6/11/07	30.000	52.266	1,567.97	1,176.60	(391.37) LT A		
	7/21/08	20.000	48.805	976.09	784.40	(191.69) LT A		
	5/14/09	14.000	32.261	451.65	549.08	97.43 LT A		
	Total	128.000		6,389.24	5,020.16	(1,369.08) LT	255.87	5.09
Share Price: \$39.220; Next Dividend Paya	ble 01/06/11							
GOOGLE INC-CL A (GOOG)	6/19/08	3.000	555.710	1,667.13	1,781.91	114.78 LT A		
,	6/24/08	1.000	546.280	546.28	593.97	47.69 LT A		
	Total	4.000	-	2,213.41	2,375.88	162.47 LT	_	
Share Price: \$593.970								

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MorganStanley SmithBarney

CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings ¹

STOCKS

COMMON STOCKS (CONTINUED)

HON CAROLYN MCCARTHY

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	, Markat Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
H J HEINZ CO (HNZ)	4/2/08	22.000	47.784	1,D51.24	1,088.12	36.88 LT A	39.60	3.63
Share Price: \$49.460; Next Dividend Payable	e 0 <i>1/10/11</i>							
HUDSON CITY BANCORP INC. (HCBK)	4/30/08	43.000	19.439	835.87	547.82	(288.05) LT A		
	11/6/08	13.000	17.616	229.01	165.62	(63.39) LT A		
	Total	56.000		1,064.88	713.44	(351.44) LT	33.60	4.70
Share Price: \$12.74D; Next Dividend Payable	e 02/11							
ISHARES BARCLAYS AGG.BD FD (AGG)	11/17/09	100.000	105.029	10,502.91	10,575.00	72.09 LT A		
	4/5/10	100.000	103.167	10,316.74	10,575.00	258.26 5T A		
	Total	200.000		20,819.65	21,1\$0.00	72.09 LT	737.60	3.48
						258.26 5T		
Share Price: \$105.75D; Next Dividend Payab	le 01/04/11					<u></u>		
ISHARES BARCLAYS TIPS BD FD (TIP)	11/17/09	100.000	105.239	10,523.91	10,752.00	228.09 LT A	269.30	2.50
Share Price: \$107.52D; Next Dividend Payab	ele 01/ <u>D4/</u> 11		_	_	_			
ISHARES DJ US BASIC MTLS SCTR (IYM)	6/29/09	45.000	44.110	1,984.95	3,485.70	1,500.75 LT A		
	8/20/09	100.000	50.480	5,048.00	7,746.00	2,698.00 LT A		
	Total	145.000		7,032.95	11,231.70	4,198.75 LT	125.43	1.11
Share Price: \$77.460; Next Dividend Payable	e 0 <i>3/11</i>							
SHARES DJ US TECH INDEX FUND (IYW)	6/29/09	45.000	44.740	2,013.30	2,897.10	883.80 LT A		
	7/17/09	55.000	46.990	2,584.45	3,540.90	956.45 LT A		
	Total	100.000		4,597.75	6,438.00	1,840.25 LT	27.50	0.42
Share Price: \$64.38D; Next Dividend Payable	03/11							
SHARES FTSE/CHINA 2S INDEX FD (FXI)	6/29/09	55.000	38.790	2,133.45	2,369.95	236.50 LT A		
	7/17 <i>[</i> 09	45.000	39.410	1,773.45	1,939.05	165.60 LT A		
	Total	100.000	·	3,906.90	4,309.00	402.10 LT	62.80	1.45
Share Price: \$43.D90; Next Dividend Payable	06/11				_			
ISHARES IBOXX \$ H/Y CORP BND (HYG)	11/23/09	115.000	86.305	9,925.05	10,383.35	458.30 LT A		
	8/17/10	25.000	87.71 <u>D</u>	2,192.75	2,257.25	64.50 5T A		
							C	ONTINUED

CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings

HON CAROLYN MCCARTHY

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Security Description	Total	140,000		12,117.80	12,640.60	458.30 LT	1,043.14	8.25
	Total	(10.000		,		64.50 5T		
Share Price: \$90.290; Next Dividend Payable	01/04/11							
ISHARES IBOXX INVEST GR COR FD (LQD)	10/16/09	85.000	103.880	8,829.80	9,217.40	387.60 LT A		
,	11/23/09	20.000	105.740	2,114.80	2,168.80	54.00 LT A		
	Total	105.000		10,944.60	11,386.20	441.60 LT	554.51	4.87
Share Price: \$108.440; Next Dividend Payab	le 01/04/11							
ISHARES MSCI AUST INDEX FUND (EWA)	3/25/10	300.000	24.040	7,212.00	7,632.00	420.00 5T A	249.00	3.26
Share Price: \$25.440; Next Dividend Payable	06/11							
ISHARES MSCI SPAIN INDEX FUND (EWP)	6/29/09	50.000	40.390	2,019.50	1,837.00	(182.50) LT A	107.40	5.84
Share Price: \$36.740; Next Dividend Payable	06/11							2.22
ISHARES S&P 500 VALUE INDEX (IVE)	6/29/09	195.000	43.999	8,579.83	11,620.0\$	3,040.22 Lf A	242.00	2.08
Share Price: \$59.590; Next Dividend Payable	03/11			<u> </u>			107.70	1.55
ISHARES S&P MID CAP 400 VALUE (IJJ)	6/29/09	160.000	52.370	8,379.15	12,713.60	4,334.45 LT A	197.76	1.55
Share Price: \$79.460; Next Dividend Payable	03/11							
ISHARES S&P SMALL CAP 600 VAL (IJS)	6/29/09	100.000	47.258	4,725.82	7,189.00	2,463.18 LT A		
	6/29/09	85.000	47.260	4,017.10	6,110.65	2,093.55 LT A		
	Total	185.000		8,742.92	13,299.6S	4,556.73 LT	152.07	1,14
Share Price: \$71.890; Next Dividend Payable	03/11			<u> </u>				
ISHARES TR S&P NATL MUN BD FD (MUB)	11/23/09	98.000	102.620	10,056.76	9,719.64	(337.12) LT A	369.75	3.80
Share Price: \$99.180; Next Dividend Payable	01/04/11						47.00	0.05
JEFFERIES TR/J CRB GLBL IND (CRBI)	10/25/10	100.000	44.420	4,442.04	4,901.00	458.96 5T	47.00	0.95
Share Price: \$49.010								
KRAFT FOODS INC CL A (KFT)	5/1/07	33.000	33.486	1,105.04	1,039.83	(65.21) LT A		
	5/9/07	20.000	32.742	654.84	630.20	(24.64) LT A		
	5/10/07	10.000	32.791	327.91	315.10	(12.81) LT A		CONTINUE

CONTINUED

CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings

HON CAROLYN MCCARTHY

STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	Total	63.000		2,087.79	1,985.13	(102.66) LT	73.08	3.68
Share Price: \$31.510; Next Oividend P.	ayable 01/14/11							
LOCKHEED MARTIN CORP (LMT)	8/27/07	5.000	101.130	505.65	349.55	(156.10) LT A		
	10/9/07	10.000	111.468	1,114.68	699.10	(415.58) LT A		
	9/5/08	5.000	114.998	574.99	349.55	(225.44) LT A		
	9/17/08	5.000	110.872	554.36	349.55	(204.81) LT A		
	Total	25.000		2,749.68	1,747.75	(1,001.93) LT	75.00	4.29
Share Price: \$69.910; Next Oividend Pa	ayable 03/11							
MARATHON OIL CO (MRO)	3/24/06	16.000	38.726	619.61	592.48	(27.13) LT A		
	3/15/07	32.000	47.070	1,506.24	1,184.96	(321.28) LT A		
	11/4/08	14.000	29.819	417.46	518.42	100.96 LT A		_
	Total	62.000		2,543.31	2,295.86	(247.45) LT	62.00	2.70
Share Price: \$37.030; Next Dividend Page 1	ayable 03/11							
MICROSOFT CORP (MSFT)	3/15/07	63.000	27.270	1,718.01	1,758.33	40.32 LT A		
	8/8/07	20.000	29.896	597.92	558.20	(39.72) LT A		
	10/17/07	30.000	31.193	935.80	837.30	(98.50) LT A		
	1/18/08	10.000	33.812	338.12	279.10	(59.02) LT A		
	10/14/08	15. 000	24.121	361.82	418.65	56.83 LT A		
	10/28/08	37.000	21.875	809.38	1,032.67	223,29 LT A		
	11/3/08	45.000	22.864	1,028.90	1,255.95	227.05 LT A		
	6/17/09	20.000	23.445	468.90	558.20	89.30 LT A		
	Totai	240.000		6,258.85	6,698.40	439.55 LT	153.60	2.29
Share Price: \$27.910; Next Oividend Pa	avable 03/11							
MITSUI & CO LTD ADR (MITSY)	10/19/07	1.000	509.390	509.39	327.72	(181.67) LT A		·
	1/25/08	1.000	376.460	376.46	327.72	(48.74) LT A		
	9/12/08	1,000	300.920	300.92	327.72	26.80 LT A		
	11/4/08	3.000	245.400	736.20	983.16	246,96 LT A		
	Total	6.000		1,922.97	1,966.32	43.35 LT	40.13	2.04
Share Price: \$327.720								
NOKIA CP ADR (NOK)	4/28/08	12.000	29.595	355.14	123.84	(231.30) LT A		
	5/19/08	6.000	30.000	180.00	61.92	(118.08) LT A		

CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings

HON CAROLYN MCCARTHY

STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
security occurption	Total	18.000		535.14	185.76	(349.38) LT	6.32	3.40
Share Price; \$10.320								
PFIZER INC (PFE)	3/24/06	8.000	26.021	208.17	140.08	(68.09) LT A		
, , , , , , , , , , , , , , , , , , ,	4/25/06	5.000	24.748	123.74	87.55	(36.19) LT A		
	4/26/06	40.000	24.969	998.76	700.40	(298.36) LT A		
	4/28/06	35,000	25.149	880.20	612.85	(267.35) LT A		
	3/15/07	117.000	24.880	2,910.96	2,048.67	(862.29) LT A		
	Total	205.000		5,121.83	3,589.55	(1,532.28) LT	164.00	4.56
Share Price: \$17.510; Next Dividend Payable	03/11							
POWERSHARES D8 COMM TRK INC (DBC)	10/25/10	100.000	26.150	2,615.00	2,755.00	140.00 ST	_	_
Share Price: \$27.550								
POWERSHARES WATER RES PTF (PHO)	11/5/09	150.000	16.215	2,432.22	2,848.50	416.28 LT A	15.30	0.53
Share Price: \$18.990								
PWRSHARES INSURED NY MUNI 8ND (PZT)	11/23/09	215.000	22.930	4,929.95	4,761.60	(168.35) LT A		
	5/11/10	300.000	23,452	7,035.54	6,644.09	(391.45) 5T A		
	Total	515.000		11,965.49	11,405.70	(168.35) LT (391.45) 5T	549.51	4.81
Share Price: \$22.147								<u> </u>
QUALCOMM INC (QCOM)	2/19/08	5.000	42.814	214.07	247.45	33.38 LT A		
• • • •	6/12/08	20.000	49.165	983.29	989.80	6.51 LT A		
	7/31/08	10.000	55.608	556.08	494.90	(61.18) LT A		
	Total	35.000		1,753.44	1,732.15	(21.29) LT	26,60	1.53
Share Price: \$49.490; Next Dividend Payable	03/11	. <u> </u>						
REVENUESHARES LARGE CAP ETF (RWL)	6/29/09	280.000	16.770	4,695.60	6,619.20	1,923.60 LT A		
	7/17/09	50.000	16.880	844.00	1,182.00	338.00 LT A		
	Total	330.000		5,539.60	7,801.20	2,261.60 LT	104.94	1.34
Share Price: \$23.640								
REVENUESHARES MIO CAP ETF (RWK)	6/29/09	260.000	19.000	4,940.00	7,672.60	2,732.60 LT A	43.68	0.56
Share Price: \$29.510			· -		· · · · · · · · · · · · · · · · · · ·			
REVENUESHARES SMALL CAP ETF (RWJ)	6/29/09	240.000	20.140	4,833.60	7,797.60	2,964.00 LT A	30.48	0.39
Share Price: \$32,490								

HON CAROLYN MCCARTHY

CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gam/(Loss)	Estimated Annual Income	Dividend Yield %
ROYAL DUTCH SHELL PLC (RDS'A)	9/25/07	5.000	83.036	415.18	333.90	(81.28) LT A		
	9/26/07	10.000	83.026	830.26	667.80	(162.46) LT A		
	10/2/07	20.000	81.877	1,637.54	1,335.60	(301.94) LT A		
	5/14/09	22.000	49.374	1,086.22	1,469.16	382.94 LT A		
	Total	57.000		3,969.20	3,806.46	(162.74) LT	162.79	4.27
Share Price: \$66.780								
S&P NORTH AMER NAT RES SECTOR (IGE)	2/12/10	100.000	32.847	3,284.74	4,169.00	884.26 5T A	57.60	1.38
Share Price: \$41.690; Next Oividend Payable	06/11							
SK TELECOM CO LTD (SKM)	7/24/08	20.000	20.423	408.46	372.60	(35.86) LT A		
• •	7/25/08	19.000	20.431	388.19	353.97	(34.22) LT A		
	Total	39.000		796.65	726.57	(70.08) LT	27.38	3.76
Share Price: \$18.630								<u> </u>
STAPLES INC (SPLS)	6/25/08	52.000	25.109	1,305.66	1,184.04	(121.62) LT A		
	9/11/08	20.000	24.585	491.70	455.40	(36.30) LT A		
	4/9/09	18.000	21.074	379.34	409.86	30.52 LT A		
	Total	90.000		2,176.70	2,049.30	(127.40) LT	32.40	1.58
Share Price: \$22.770; Next Oividend Payable	01/13/11							
STATOIL ASA AOR (STO)	7/24/08	33.000	30.472	1,005.57	784.41	(221.16) LT A		
	11/11/08	15.000	18.106	271.59	356.55	84.96 LT A		
	Total	48.000	•	1,277.16	1,140.96	(136.20) LT	37.39	3.27
Share Price: \$23.770								·
SUPERVALU INC (SVU)	2/18/09	44.000	17.663	777.15	423.72	(353.43) LT A		
	2/25/09	36.000	18.179	654.45	346.68	(307.77) LT A		
	Total	80.000		1,431.60	770.40	(661.20) LT	28.00	3.63
Share Price: \$9.630; Next Oividend Payable	03/11				<u>. </u>			
TOTAL FINA ELF SA (TOT)	12/27/07	15.000	82.369	1,235.53	802.20	(433.33) LT A		
•	1/3/08	15.000	84.739	1,271.08	802.20	(468.88) LT A		

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CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings

HON CAROLYN MCCARTHY

STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield
	Total	30.000		2,506.61	1,604.40	(902.21) LT	74.49	4.6
Share Price: \$53.480								
TRANSCANADA CORP(HLDG CO) (TRP)	7/29/08	5.000	37.546	187.73	190.20	2.47 LT A		
	7/30/08	5.000	37.682	188.41	190.20	1.79 LT A		
	7/31/08	11.000	38.588	424.47	418.44	(6.03) LT A		
	Total	21.000		800.61	798.84	(1.77) LT	33.43	4.1
Share Price: \$38.040; Next Dividend Payable	01/31/11							
UNILEVER PLC (NEW) ADS (UL)	6/27/07	10,000	32.184	321.84	308.80	(13.04) LT A		
	10/10/07	5.000	32.326	161.63	154.40	(7.23) LT A		
	10/11/07	5.000	33.074	165.37	1 54.40	(10.97) LT A		
	11/7/07	6.000	35.737	214.42	185.28	(29.14) LT A		
	1/30/08	4.000	32.548	130.19	123.52	(6.67) LT A		
	Total	30.000		993.45	926.40	(67.05) LT	33.45	3.6
Share Price: \$30.880						·		
VALERO ENERGY CP DELA NEW (VLO)	4/16/09	37,000	21.317	788.73	855.44	66.71 LT A		
	4/20/09	35.000	20.117	704.10	809.20	105.10 LT A		
	Total	72.000		1,492.83	1,664.64	171.81 LT	14.40	0.8
Share Price: \$23.120; Next Dividend Payable	03/11							
VAN ECK GLBL ALTERNATIVE ENGY (GEX)	7/17/09	100,000	23.721	2,372.14	2,001.00	(371.14) LT A	19.00	0.9
Share Price: \$20.010								
VANGUARD MEGA CAP 300 VALUE (MGV)	8/20/09	150.000	32.655	4,898.22	5,808.00	909.78 LT A	137.40	2.36
Share Price: \$38,720; Next Dividend Payable	03/11							
VANGUARD TOTAL BOND MARKET (BND)	11/17/09	100.000	79.640	7,964.00	8,027.00	63.00 LT A		
	11/23/09	20.000	79.780	1,595.60	1,605.40	9.80 LT A		
	11/23/09	30.000	79.770	2,393.10	2,408.10	15.00 LT A		
	Total	150.000		11,952.70	12,040.50	87.80 LT	418.95	3.4
Share Price: \$80,270; Next Dividend Payable	01/11							
WAL MART STORES INC (WMT)	6/24/08	9.000	57.647	518.82	485.37	(33.45) LT A		
	6/27/08	20.000	56.974	1,139.47	1,078.60	(60.87) LT A		
	7/9/08	10.000	58.436	584.36	539.30	(45.06) LT A		
	9/11/08	5.000	62.458	312.29	269.65	(42.64) LT A		

CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings

HON CAROLYN MCCARTHY

STOCKS

COMMON STOCKS (CONTINUED)

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	Total	44.000		2,554.94	2,372.92	(182.02) LT	53.24	2.24
Share Price: \$53.930; Next Oividend	Payable 01/03/11							
WINDSTREAM CORP (WIN)	8/23/06	10.000	12.771	127.71	139.40	11.69 LT A		
•	10/16/06	45.000	13.775	619.89	627.30	7.41 LT A		
	10/17/06	20.000	13.674	273.47	278.80	5.33 LT A		
	3/15 <i>/</i> 07	130.000	14.350	1,865.50	1,812.20	(53.30) LT A		
	11/10/08	36.000	8.943	321.96	501.84	179.88 LT A		
	Total	241.000		3,208.53	3,359.54	151.01 LT	241.00	7.17
Share Price: \$13.940; Next Dividend	Payable 01/18/11							
		Percentage of Assets %		Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
STOCKS		96.8%	ANGELES PER	\$276,769.20	\$297,618.39	\$18,871.09 LT \$1.978.09 ST	\$8,713.47 \$0.00	2.93%

	Percentage	Total Cont	Bandon Malon	Unrealized	Estimated Annual Income	Mr. a.a.a.c
	of Assets %	Total Cost	Market Value	Gain/(Loss)	Accrued Interest	Yield %
TOTAL MARKET VALUE	100.0%	\$276,769.20	\$307,483.19	\$18,871.09 LT \$1,978.09 ST	\$8,727.47 \$0.00	2.84%

TOTAL VALUE (includes accrued interest)

\$307,483,19

A - You executed this transaction elsewhere and later transferred the security to your Morgan Stanley Smith Barney Account. Another financial institution has provided Morgan Stanley Smith Barney the transaction detail for this position.

CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings

HON CAROLYN MCCARTHY

The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the period shown above which may not reflect the value that could actually be obtained in the market. See "Pricing of Securities" in the Disclosures section at the end of this statement.

Estimated annual income and estimated yield for certain securities can include return of principal or capital gains which could overstate such estimates. Estimated yield and estimated annual income are estimates and the actual income or yield may be lower or higher than the estimates. Estimated yield reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate. If you hold structured products, please refer to the Special Considerations Regarding Structured Products section of the Oisclosure section.

Gain/loss information is provided for informational purposes only and should not be used for tax preparation. Please refer to the gain/loss section of the disclosures for important information about gain/loss reporting.

From January through September, realized gain/loss information will be shown only for trades settling in the current month, and/or certain adjustments (to previously closed lots) made in the current month. From October through December, in order to provide information for year-end investment planning, complete year to date realized gain/loss detail will be displayed for trades settling through the last business day of the

CASH, DEPOSITS AND MONEY MARKET FUNDS

Description	Value	Estimated Annual Income 7-Day Cu	rrent Yield % Annual Percentage Yield %
CASH	\$570.08		
MORGAN STANLEY BANK N.A. #	57,488.88	17.00	<u> </u>
	Percentage of Assets %	Market Value	Estimated Annual locome Accrued Interest
CASH, DEPOSITS AND MONEY MARKET FUNDS	17.6%	\$58,058.96	\$17.00 \$0.00

Bank deposits are at Morgan Stanley Bank, N.A. and Morgan Stanley Private Bank, National Association (Members FOIC), affiliates of Morgan Stanley Smith Barney. Cash holdings shown exclude cash holdings in custody at another firm for which you receive a separate statement.

STOCKS

COMMON STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
BLACKROCK NY MUNI INC TRUST (BNY)	2/4/08	900.000	\$16.750	\$15,075.36	\$12,267.00	\$(2,808.36) LT A	\$891.00	7.26
Share Price: \$13.630; Next Oividend Payab	le 01/11			<u> </u>				
BLDRS EMERGING MKTS 50 ADR (ADRE)	5/16/07	140.000	43.515	6,092.14	6,741.00	648.86 LT A	108.36	1.60
Share Price: \$48.150; Next Oividend Payabi	le 03/11							
COHEN&STEERS INFRASTRUCTURE FO (UTF)	2/21/08	220.000	24.343	5,355.36	3,612.40	(1,742.96) LT A	316.80	8.76
Share Price: \$16.420; Next Oividend Payabi	le 03/11							
EATON VANCE TAX-MNGD GLBL (ETW)	2/4/08	500.000	17.601	8,800.35	6,125.00	(2,675.35) LT A	605.00	9.87
Share Price: \$12.250; Next Oividend Payabi	le 03/11							

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CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings

HON CAROLYN MCCARTHY

STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
ISHARES MSCI BRAZIL(FREE)INOEX (EWZ)	5/16/07	105.000	57.497	6,037.20	8,127.00	2,089.80 LT A	294.74	3.62
Share Price: \$77.400; Next Dividend Payable	06/11							
JOHN HANCOCK PFO INCM FD III (HPS)	2/4/08	500.000	20.941	10,470.35	7,995.00	(2,475.35) LT A	673.00	8.41
Share Price: \$15.990; Next Oividend Payable	01/11							
MARKET VECT.ENV SERV FO (EVX)	5/16/07	125.000	49.463	6,182.85	6,450.00	267.15 LT A	62.5 <i>0</i>	0.96
Share Price: \$51.600								
MARKET VECTORS RUSSIA ETF RUSS (RSX)	5/16/07	160.000	38.716	6,194.55	6,065.60	(128.95) LT A	29.44	0.48
Share Price: \$37.910								
NEUBERGER BERMAN REAL EST (NRO)	2/21/08	422.000	10.425	4,399.35	1,683.78	(2,715.57) LT A	101.28	6. <i>0</i> 1
Share Price: \$3.990; Next Dividend Payable 0	01/11							
NFJ OIVIOEND INT & PRE STRGY (NFJ)	2/4/08	500.000	23.201	11,600.35	8,755.00	(2,845.35) LT A	300.00	3.42
Share Price: \$17.510; Next Dividend Payable	01/07/11							
NUVEEN EQTY PREMIUM OPPTY FD (JSN)	2/4/08	500.00 <i>0</i>	17.001	8,500.35	6,440.00	(2,060.35) LT A	630.00	9.78
Share Price: \$12.880; Next Dividend Payable	03/11							
PIMCO CORPORATE OPPTY FO (PTY)	2/4/08	500.000	15.839	7,919.35	8,485.00	565.65 LT A	690.00	8.13
Share Price: \$16.970; Next Dividend Payable	01/11							
PIONEER MUNI HI INCM ADV TR (MAV)	2/4/08	900.000	14.999	13,499.37	11,178.00	(2,321.37) LT A	972.00	8.69
Share Price: \$12.420; Next Dividend Payable	01/11			<u></u>				
PWRSHARES INSURED NY MUNI BNO (PZT)	9/24/09	80.000	24.242	1,939.35	1,771.76	(167.59) LT A	85.36	4.81
Share Price: \$22.147								
SOURCE CAPITAL INC (SOR)	2/4/08	200.000	58.287	11,657.35	10,626.00	(1,031.35) LT A	480.00	4.51
Share Price: \$53.130; Next Dividend Payable	03/11			<u></u>				
VAN ECK GLBL ALTERNATIVE ENGY (GEX)	5/16/07	15 <i>0</i> .000	40.409	6, <i>0</i> 61.35	3,001.50	(3,059.85) LT A	28.50	0.94
Share Price: \$20.010								
WISDOMTREE INTL BASIC MAT FD (DBN)	5/16/07	175.000	34.986	6,122.60	5,625.55	(497.05) LT A	93.28	1.65
Share Price: \$32.146; Next Oividend Payable	03/11							
COMMON STOCKS	· · · · · · · · · · · · · · · · · · ·	·		\$135,907.58	\$114,949.59	\$(20,957.99) LT	\$6,361.26	5.53%

CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings

HON CAROLYN MCCARTHY

\$91,575.80

STOCKS

PREFERRED STOCKS

Security Description	Trade Date	Quantity	Unit Cost	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
FREDDIE MAC 6.02% SERIES X (FMCKL)	1/7/08	500.000	\$22.707	\$11,353.35	\$260.00	\$(11, <i>0</i> 93.35) LT A	\$26.2 <i>0</i>	10.07
Share Price: \$0.520; Moody CA S&P	<i>c</i>							
ING GROEP NV 6.12SO% SER (ISG)	1/7/08	237.000	22.013	5,21 6 .98	4,801.62	(415.3 6) LT A	362.85	7.55
Share Price: \$20.260; Moody BA1 S&	P BB; Next Oividend P	ayable 01/18/11	<u></u>					
PREFERRED STOCKS				\$16,570.33	\$5,061.62	\$(11,S08.71) LT	\$389.0S	7.69%
		Percentage of Assets %		Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
STOCKS		36.3%		\$1 \$2,477 .91	\$120,011.21	\$(32,466.70) LT	\$6,750.31	5.62%
				The same of the same			\$0.00	

MUNICIPAL BONDS

TOTAL MUNICIPAL BONDS (incl.accr.int.)

Security Description	Trade Date	(Face Value	Orig. Unit Cost Adj. Unit Cost	Orig. Total Cost Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
MONROE CNTY N Y PUB IMPT	3/15/10	30,000.000	\$101.414	\$30,424.15			\$1,275.00	4.22
CUSIP 61074PFK8			\$ 1 <i>0</i> 1.21 6	\$3 <i>0</i> ,3 64.8 1	\$30,1S4.80	\$(21 <i>0.0</i> 1) ST A	\$1 <i>0</i> 6 .24	
Unit Price: \$100.516; Coupon Rate 4.250% Insurer:NATL PUBLIC FINANCE GU; Issued 0.		Int. Semi-Annual	lly Jun/Dec 01;	Callable \$100.00 on 06	/01/15; Yield to Call 4.1	20%; Federal Tax Exempt; N	Moody A3 S&P BB 8 +;	
NEW YORK N Y CITY GENL OBLIG F-F1	3/19/0 8	10,000,000	105.554	10,555.35			500.00	4.72
CUSIP 64966FMS0			103. 6 73	10,3 6 7.2 6	10,577.10	209.84 LT A	166.66	
Unit Price: \$105.771; Coupon Rate 5.000% Insurer:AMBAC; Issued 09/22/05	; Matures 09/01/21;	Int. Semi-Annual	lly Mar/Sep 01;	Callable \$100.00 on 09	V01/15, Yield to Call 3.6	643%; Federal Tax Exempt. N	Moody AA2 S&P AA;	
NEW YORK ST TWY AUTH GEN REV SER G	9/24/09	50,000.000	105. <i>0</i> 11	52,5 <i>0</i> 5.35			2,375.00	4.80
CUSIP 650009QN6			1 <i>0</i> 3.99 8	51,999.1 8	49,383.SO	(2.615.68) LT A	1 .18 7.5 <i>0</i>	
Unit Price: \$98.767; Coupon Rate 4.750%; Insurer:AGMC FORMERLY FSA; Issued 09/29;		nt. Semi-Annually	y Jan/Jul 01; Ca	allable \$100.00 on 07/0	1/15; Yield to Maturity 4	850%; Federal Tax Exempt;	Moody AA3 S&P AA+;	
		Percentage of Assets %		Orig. Total Cost Adi. Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
MUNICIPAL BONDS	TOTO ON THE WAY AND THE PROPERTY OF CAMPACITY WAY TO	200000000000000000000000000000000000000		\$93,484.85			\$4,150.00	4.60%
				\$92,731.2S	\$90,115.40	\$(2,40\$.84) LT \$(210.01) ST	\$1,460.40	

27.7%

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MorganStanley SmithBarney

CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings

HON CAROLYN MCCARTHY

GOVERNMENT SECURITIES

TREASURY SECURITIES

Security Description	Trade Oate	Face Value	ing. Unit Cost Adj. Unit Cost	Orig. Total Cost Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Annual Income Accrued Interest	Yield %
UNITED STATES TREASURY		19,000.000		Please Provide			\$693.37	2.82
NDTE-INFLATION INDEXED CUSIP 912828AF7			_	Please Provide	\$24,549.91	N/A	\$318.41	
Unit Price: \$106.219; Coupon Rate	3.000%; Matures 07/15/12	; Int. Semi-Annuali	ly Jan/Jul 15; Fa	actor 1.21645000; Mod	ody AAA 5&P AAA; Issue	ed 07/15/02; Amortized Qua	antity 23,112	_
UNITED STATES TREASURY BOND	3/24/06	18,000.000	144.387	25,989.61			1,912.50	7.63
CUSIP 912810DS4			124.251	22,365.15	25,D57.98	2,692.83 LT A	717.18	
Unit Price: \$139.211; Coupon Rate	10.62%; Matures 08/15/15	; Int. Semi-Annuali	ly Feb/Aug 15;	Yield to Maturity 1.7569	%; Moody AAA 5&P AAA	; Issued 08/15/85		_
UNITED STATES TREASURY BOND	3/24/06	7,000.000	139.234	9,746.41	•		630.00	6.23
CUSIP 912810E80			127.106	8,897.42	10,096.94	1,199.52 LT A	80.05	
Unit Price: \$144,242; Coupon Rate	9.000%; Matures 11/15/18	; Int. Semi-Annuali	ly May/Nov 15;	Yield to Maturity 2.719	%; Moody AAA 5&P AAA	A; Issued 11/15/88		
		Percentage		Orig. Total Cost		Unrealized	Estimated Annual Income	W-14 04

TO THE RESIDENCE AND ADDRESS OF THE RESIDENCE OF THE RESI	Percentage of Assets %	<u>Orig. Total Cost</u> Adj. Total Cost	Market Value	Unrealized Gain/(Loss)	Annual Income Accrued Interest	Yield %
GOVERNMENT SECURITIES		\$35,736.D2 \$31,262.57	\$59,704.83	\$3,892.35 LT	\$3,235.87 \$1,115.64	5.42%

TOTAL GOVERNMENT SECURITIES (incl.accr.int.)

\$60,820.47

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
TOTAL MARKET VALUE	100,0%	\$276,471.73	\$327,890.4D	\$(3D,980.19) LT \$(21D.01) ST	\$14,153.18 \$2,576.D4	4.28%

TOTAL VALUE (includes accrued interest)

\$330,466.44

Unrealized Gain/Loss Totals only reflect positions that have cost basis information available. Cash, MMF, Deposits and positions stating 'Please Provide' are not included.

18.4%

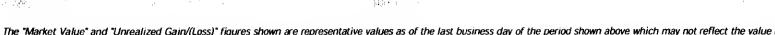
A - You executed this transaction elsewhere and later transferred the security to your Morgan Stanley Smith Barney Account. Another financial institution has provided Morgan Stanley 5mith Barney the transaction detail for this position.

CLIENT STATEMENT | For the Period Oecember 1-31, 2010

MorganStanley SmithBarney

HON CAROLYN MCCARTHY

Holdings



The "Market Value" and "Unrealized Gain/(Loss)" figures shown are representative values as of the last business day of the period shown above which may not reflect the value that could actually be obtained in the market. See "Pricing of Securities" in the Oisclosures section at the end of this statement.

Estimated annual income and estimated yield for certain securities can include return of principal or capital gains which could overstate such estimates. Estimated yield and estimated annual income are estimates and the actual income or yield may be lower or higher than the estimates. Estimated yield reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate. If you hold structured products, please refer to the Special Considerations Regarding Structured Products section.

Gain/loss information is provided for informational purposes only and should not be used for tax preparation. Please refer to the gain/loss section of the disclosures for important information about gain/loss reporting.

From January through September, realized gain/loss information will be shown only for trades settling in the current month, and/or certain adjustments (to previously closed lots) made in the current month. From October through December, in order to provide information for year-end investment planning, complete year to date realized gain/loss detail will be displayed for trades settling through the last business day of the year.

CASH, DEPOSITS AND MONEY MARKET FUNDS

Description CASH	Value	Estimated Annual Income	7-Day Current Yield %	Annual Percentage Yield %
CASH	\$187.62			
MORGAN STANLEY BANK N.A. #	9,445.51	3.00		0.030
	Percentage of Assets %	Market Value		Estimated Annual Income Accrued Interest
CASH, DEPOSITS AND MONEY MARKET FUNDS	7.1%	\$9,633.13		\$3.00
				00.02

[#] Bank deposits are at Morgan Stanley Bank, N.A. and Morgan Stanley Private Bank, National Association (Members FDIC), affiliates of Morgan Stanley Smith Barney. Cash holdings shown exclude cash holdings in custody at another firm for which you receive a separate statement.

STOCKS

COMMON STOCKS

Morgan Stanley & Co. Incorporated (Morgan Stanley), Citi Investment Research & Analysis (CIRA), and Standard & Poor's research ratings may be shown for certain securities. All research ratings represent the "opinions" of the research provider and are not representations or guarantees of performance. Because the research report contains more complete information regarding the analyst's opinions, analysis, and rating, you should read the entire research report and not infer its contents from the rating. Where a particular company is covered by both Morgan Stanley and CIRA, you can and should view both research reports. Morgan Stanley and CIRA research reports may contain different or conflicting information about the subject companies of such research reports because they are prepared separately from each other. For ease of companison, Morgan Stanley and Standard & Poor's research ratings have been normalized to a 1 (Buy), 2 (Hold), and 3 (Sell). Please refer to the end of this statement for a summary guide describing CIRA, Morgan Stanley and Standard & Poor's ratings. Morgan Stanley Smith Barney is not the author of, does not take responsibility for, and does not guarantee the accuracy, completeness, or timeliness of research prepared for Standard & Poor's.

				Unrealized	Esturated	Dividend
Security Description	Quantity	Total Cost	Market Value	Gain/(Loss)	Annual Income	Yield %
BLACKROCK INTL GRWTH & INC TR (BGY)	285.000	\$4,675.20	\$2,898.45	\$(1,776.75)	\$387.60	13.37
Share Price: \$10.170; Next Oividend Payable 03/11						
EATON VANCE TAX MGD DIV EQU FD (EXG)	280.000	4,622.15	2,948.40	(1,673.75)	318.36	10.79
Share Price: \$10.530; Next Dividend Payable 02/11						

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MorganStanley SmithBarney

CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings

HON CAROLYN MCCARTHY

STOCKS

Security Description	Quantity	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
EATON VANCE TAX-MNGO GLBL (ETW)	300.000	4,262.79	3,675.00	(587.79)	363.00	9.87
Share Price: \$12.250; Next Oividend Payable 03/11						
FORD MOTOR CO NEW (F)	500.000	6,405.35	8,395.00	1,989.65	****	
Share Price: \$16.790; Rating: Morgan Stanley: 1, Citigrou	p: 2H, S&P: 2					
GENERAL ELECTRIC CO (GE)	200.000	1,746.79	3,658.00	1,911.21	112.00	3.06
Share Price: \$18.290; Rating: Morgan Stanley: 1, Citigrou	p. 1M, S&P. 1; Next Dividend Paya	able 01/25/11				
GREAT PLAINS ENERGY INC (GXP)	300.000	8,893.35	5,817.00	(3,076.35)	249.00	4.28
Share Price: \$19.390; Rating: S&P: 2; Next Oividend Paya	able 03/11					
ISHARE5 IBOXX \$ H/Y CORP BND (HYG)	50.000	4,365.85	4,514.50	148.65	372.55	8.25
Share Price: \$90,290; Next Dividend Payable 01/04/11						
ISHARES S&P GROW ALLOCATION (AOR)	150.000	4,379.45	4,731.00	351.55	87.15	1.84
Share Price: \$31.S40; Next Oividend Payable 03/11						
MOTOROLA INC (MOT)	200.000	3,701.35	1,814.00	(1,887.35)		_
Share Price: \$9.070; Rating: Morgan Stanley: 1, Citigroup	: 2H, S&P: 1					
NFJ OIVIOENO INT & PRE STRGY (NFJ)	505.000	12,625.00	8,842.55	(3,782.45)	303.00	3.42
Share Price: \$17.S10; Next Oividend Payable 01/07/11						
PROCTER & GAMBLE (PG)	200.000	3,125.67	12,866.00	9,740.33	385.40	2.99
Share Price: \$64.330; Rating: Morgan Stanley: 2, Citigroup	p: 1L, S&P: 1; Next Oividend Payal	ble 02/11				
TECHNICOLOR ADR NEW (TCH)	20.000	3,769.94	95.20	(3,674.74)	_	_
Share Price: \$4.760						
U 5 BANCORP COM NEW (USB)	200.000	6,967.35	5,394.00	(1,573.35)	40.00	0.74
Share Price: \$26.970; Rating: Morgan Stanley: 2, Citigrou	p: 1M, S&P: 1; Next Oividend Paya	ble 01/18/11				
VAN ECK GLBL ALTERNATIVE ENGY (GEX)	90.000	1,561.37	1,800.90	239.53	17.10	0.94
Share Price: \$20.010						
	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
STOCKS	49.9%	\$71,101.61	\$67,450.00	\$(3,651.61)	\$2,635.16 \$0.00	3.91%

CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings

HON CAROLYN MCCARTHY

MUTUAL FUNDS

OTHER MUTUAL FUNDS

Security Description		Quantity	Fotal Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
FIDELITY ADV EMERG ASIA B (FERBX)	Purchases	98.000	\$2,530.35	\$2,960.58	\$430.23		
Reinvestments		6.930	201.81	209.36	7.55		
	Total	104.930	2,732.16	3,169.94	437.78	_	_
Market Value vs Total Purchases +			2,530.35	3,169.94			
Net Value Increase/(Decrease)				639.59			
Share Price: \$30.210; Enrolled In MS Divider	nd Reinvestment; Ca	apital Gains Reinvest					
FIDELITY ADV ENERGY B (FANRX)	Purchases	50.000	2,046.00	1,68 6 .00	(360.00)		
Reinvestments		18.028	715.53	607.90	(107.63)		
	Total	68.028	2,761.53	2,293.90	(467.63)	_	
Market Value vs Total Purchases +			2,046.00	2,293.90			
Net Value Increase/(Decrease)				247.90			
Share Price: \$33.720; Enrolled In MS Divider	nd Reinvestment; Ca	apital Gains Reinvest					
FIDELITY ADV HEALTH CARE B (FAHTX)	Purchases	394.000	8,786.20	8,183.38	(602.82)		-
Reinvestments		46.000	918.23	955.42	37.19		
	Total	440.000	9,704.43	9,138.80	(565.63)	_	_
Market Value vs Total Purchases +			8,786.20	9,138.80			
Net Value Increase/(Decrease)				352.60			
Share Price: \$20.770; Enrolled In MS Divider	nd Reinvestment, Ca	pital Gains Reinvest					
FIDELITY ADV LATIN AMERICA B (FLFBX)	Purchases	47.596	2,167.17	2,811.97	644.80		
Reinvestments		3.568	209.38	210.80	1.42		
	Total	51.164	2,376.55	3,022.77	646.22	2.00	0.06
Market Value vs Total Purchases +			2,167.17	3,022.77			
Net Value Increase/(Decrease)				8 55.60			
Share Price: \$59,080; Enrolled In MS Divider	nd Reinvestment, Ca	pital Gains Reinvest					
FIDELITY ADV LVGD CMPNY STK B (FLCBX)	Purchases	116.000	3,956.76	3,807.12	(149.64)		
Reinvestments		3.000	106.43	98.46	(7.97)		
	Total	119.000	4,063.19	3,905.58	(157.61)	_	_
Market Value vs Total Purchases +			3,956.76	3,905.58			
Net Value Increase/(Decrease)				(51.18)			
Share Price: \$32.820; Enrolled In MS Divider	nd Reinvestment; Ca	pital Gains Reinvest					
	Purchases	138.000	2,496,42	2,249.40	(247.02)		
FIDELITY ADV REAL ESTATE B (FHEBX)	Purchases	130.000	2,100.12	_,	(— · · · · – /		

CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings

HON CAROLYN MCCARTHY

MUTUAL FUNDS

OTHER MUTUAL FUNDS (CONTINUEO)

Security Description		Quantity	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
	Total	144.377	2,560.99	2,353.35	(207.64)	24.00	1.01
Market Value vs Total Purchases + Net Value Increase/(Decrease)			2,496.42	2,353.35 (143.07)			
Share Price: \$16.300; Enrolled In MS Divider	nd Reinvestment, Ca	apital Gains Reinvest					
FIDELITY ADV SMALL CAP B (FSCBX)	Purchases	182.000	4,309.75	4,062.24	(247.51)	***************************************	-
Reinvestments		24.020	466.82	536.13	69.31		
	Total	206.020	4,776.57	4,598.37	(178.20)	-	_
Market Value vs Total Purchases + Net Value Increase/(Decrease)			4,309.75	4,598.37 288.62			
Share Price: \$22.320; Enrolled In MS Divider	nd Reinvestment; Ca	apital Gains Reinvest					
FIDELITY ADV STRAT DIV & INC B (FBSDX)	Purchases	297.000	3,959.01	3,118.50	(840.51)		
Reinvestments		35.053	375.29	368.06	(7.23)		
	Total	332.053	4,334.30	3,486.56	(847.74)	128.00	3.67
Market Value vs Total Purchases + Net Value Increase/(Decrease)			3,959.01	3,486.56 (472.45)			
Share Price: \$10.500; Enrolled In MS Dividen	nd Reinvestment; Ca	apital Gains Reinvest					
PIONEER BOND A (PIOBX)	Purchases	2.000	0.00	19.10	0.00		
Reinvestments		0.010	0.10	0.10	0.00		
	Total	2.010	0.10	19.20	0.00		
Market Value vs Total Purchases + Net Value Increase/(Decrease)			N/A	19.20 N/A			
Share Price: \$9.550; Enrolled In MS Dividend	Reinvestment; Cap	nital Gains Reinvest					
PIONEER CLASSIC BALANCED B (ASBBX)	Purchases	813.000	9,040.56	7,495.86	(1,544.70)		
Reinvestments		180.549	1,662.33	1,664.66	2.33		
	Total	993.549	10,702.89	9,160.52	(1,542.37)	152.00	1.65
Market Value vs Total Purchases + Net Value Increase/(Decrease)			9,040.56	9,160.52 119.96			
		· · · · · · · · · · · · · · · · · · ·				C	ONTINUFO

MorganStanley SmithBarney

CLIENT STATEMENT | For the Period December 1-31, 2010

Holdings

HON CAROLYN MCCARTHY

MUTUAL FUNDS

OTHER MUTUAL FUNDS (CONTINUED)

Security Description		Quantity	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income	Dividend Yield %
Share Price: \$9.22D; Enrolled In MS Divid	lend Reinvestment; Ca	pital Gains Reinvest					
PIONEER EQUITY INC B (PBEQX)	Purchases	289.000	9,895.35	7,282.80	(2,612.55)		
Reinvestments		34.103	918.00	859.40	(58.60)		
	Total	323.103	10,813.35	8,142.20	(2,671.15)	52.00	0.63
Market Value vs Total Purchases + Net Value Increase/(Decrease)			9,895.35	8,142.20 (1,753.15)			
Share Price: \$25.200; Enrolled In MS Divi	dend Reinvestment, C	apital Gains Reinvest					
PIONEER HIGH YIELD B (TBHYX)	Purchases	388.000	4,601.71	3,969.24	(632.47)		
Reinvestments		476.773	5,384.19	4,877.39	(506.80)		
	Total	864.773	9,985.90	8,846.63	(1,139.27)	360.00	4.06
Market Value vs Total Purchases + Net Value Increase/(Decrease)			4,601.71	8,846.63 4,244.92			
Share Price: \$1D.23D; Enrolled In MS Divi	idend Reinvestment; C	apital Gains Reinvest					
		Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated Annual Income Accrued Interest	Yield %
MUTUAL FUNDS		43.0%	\$64,811.96	\$58,137.82	\$(6,693.24)	\$718.00 \$0.00	1.24%

Transactions in mutual fund positions held directly at the Fund Company are not included in the total above and are not reflected on the Summary Page. For more information about the pricing of Money Market Funds, please see the Disclosures section of the statement.

+ Net Value Increase/(Decrease) compares your Total Purchases (excluding Dividend Reinvestments) with the Market Value of all shares you hold of the fund. This calculation is for informational purposes only, does not reflect your total unrealized gain or loss and should not be used for tax purposes.

	Percentage of Assets %	Total Cost	Market Value	Unrealized Gain/(Loss)	Estimated <u>Annual Income</u> Accrued Interest	Yield %
TOTAL MARKET VALUE	100.0%	\$135,913.57	\$135,220.95	\$(10,344.85)	\$3,356.16 \$0.00	2.48%

TOTAL VALUE (includes accrued interest)

\$135,220.95

Unrealized Gain/Loss Totals only reflect positions that have cost basis information available. Cash, MMF, Deposits and positions stating 'Please Provide' are not included.



MorganStanley SmithBarney

1099 Consolidated Tax Statement Tax Year 2010 Copy B For Recipient

HON CAROLYN MCCARTHY

Morgan Stanley Smith Barney Holdings LLC

One New York Plaza

12th Floor

New York, NY 10004

Identification Number: 26-4310632

Customer Service: 866-324-6088

This is important tax information and is being furnished to the internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

IRS BOX	2010 FORM 1099-DIV - DIVIDENDS AND DISTRI OMB NO. 1545-0110	BUTIONS
1a.	TOTAL ORDINARY DIVIDENDS	\$2,581.40
1b.	QUALIFIED DIVIDENDS	\$1,520.49
2a.	TOTAL CAPITAL GAIN DISTRIBUTIONS	\$48.69
2b.	UNRECAP. SEC. 1250 GAIN	\$0.00
2d.	COLLECTIBLES (28%) GAIN	\$0.00
3.	NON-DIVIDEND DISTRIBUTIONS	\$105.66
4.	FEDERAL INCOME TAX WITHHELD	\$0.00
5.	INVESTMENT EXPENSES	\$0.00
6.	FOREIGN TAX PAID	\$37.33
8.	CASH LIQUIDATION DISTRIBUTIONS	\$0.00
9.	NON-CASH LIQUIDATION DISTRIBUTIONS	\$0.00
IRS BOX	2010 FORM 1099-OID - ORIGINAL ISSUE DISCO OMB NO. 1545-0117	DUNT
1.	ORIGINAL ISSUE DISCOUNT FOR 2010	\$0.00*
2.	OTHER PERIODIC INTEREST	\$0.00
4.	FEDERAL INCOME TAX WITHHELD	\$0.00
6.	OID ON U.S. TREASURY OBLIGATIONS	\$0.00*
7.	INVESTMENT EXPENSES	\$0.00
	may not be the correct figure to report on your inconstructions on the back.	me tax return.

ST INCOME VITHDRAWAL PENALTY ST ON U.S. SAVINGS BONDS AND TREASURY OBLIGATIONS IL INCOME TAX WITHHELD MENT EXPENSES IN TAX PAID EMPT INTEREST ED PRIVATE ACTIVITY BOND INTEREST	\$0.00 \$0.01 \$0.00 \$0.00
ST ON U.S. SAVINGS BONDS AND TREASURY OBLIGATIONS IL INCOME TAX WITHHELD MENT EXPENSES IN TAX PAID EMPT INTEREST	\$0.00 \$0.00
L INCOME TAX WITHHELD MENT EXPENSES N TAX PAID EMPT INTEREST	\$0.01 \$0.00 \$0.00
MENT EXPENSES N TAX PAID EMPT INTEREST	\$0.00 \$0.00
N TAX PAID EMPT INTEREST	\$0.00
EMPT INTEREST	•
	#050 30
ED PRIVATE ACTIVITY BOND INTEREST	\$250.76
	\$0.00
EMPT BOND CUSIP NO.	Various
RM 1099-MISC - MISCELLANEOUS INCOME . 1545-0115	
	\$0.00
IES	\$0.00
NCOME	\$0.00
L INCOME TAX WITHHELD	\$0.00
UTE PAYMENTS IN LIEU OF DIVIDENDS OR INTEREST	\$0.00
RM 1099-B - PROCEEDS FROM BROKER AND BARTER EXCHANGE CTIONS OMB NO. 1545-0715	
PROCEEDS LESS COMMISSIONS ON STOCKS BONES ETC	\$8,305.47
THOCEEDS LESS COMMISSIONS ON STOCKS, BONDS, ETC	\$0.00
(



Tax Year 2010

HON CAROLYN MCCARTHY

1099-DIV DIVIDENDS & DISTRIBUTIONS

Total Ordinary Dividends

DESCRIPTION	CUSIP	PAY DATE	ORDINARY DIVIDENDS	QUALIFIED F DIVIDENDS	FEDERAL INCOME TAX WITHHELD	FOREIGN TAX PAID	COUNTRY	NOTES
ABBOTT LABORATORIES	002824100	11/15/10	\$19.36	\$19.36	\$0.0 <u>0</u>	\$0.00		
AMEREN CORP (HLDG CO)	023608102	12/31/10	\$19.25	\$19.25	\$0.00	\$0.00		
AT&T INC	00206R102	11/01/10	\$31.08	\$31.08	\$0.00	\$0.00		
CDN PACIFIC RY LTD NEW	13645T100	10/25/10	\$3.45	\$3.45	\$0.00	\$0.52	CANADA	
CENOVUS ENERGY INC COM	15135U109	12/31/10	\$6.98	\$6.98	\$0.00	\$1.05	CANADA	
COCA COLA CO	191216100	12/15/10	\$16.72	\$16.72	\$0.0 <u>0</u>	\$0.00		
CONOCOPHILLIPS	20825C104	12/01/10	\$20.90	\$20.90	\$0.00	\$0.00		
CONS STAPLES SEL SECT SPDR FD	81369Y308	12/29/10	\$23.00	\$23.00	\$0.00	\$0.00		
DIAMOND OFFSHORE DRILLING INC	25271C102	12/01/10	\$23.63	\$23.63_	\$0.00	\$0.00		
EATON VANCE TAX-MNGD GLBL	27829C105	12/31/10	\$13.72	\$13.72	\$0.00	\$0.00		
ENCANA CORP	292505104	12/31/10	\$7.00	\$7.00	\$0.00	\$1.05	CANADA	
ENERGY SEL SECT SPDR FD	81369Y506	12/29/10	\$29.29	\$29.29	\$0.00	\$0.00		
FIRST TRISE REVERE NAT GAS	33734J102	12/31/10	\$0.82	\$0.82	\$0.00	\$0.00		
HUDSON CITY BANCORP INC.	443683107	11/30/10	\$8.40	\$8.40	\$0.0 <u>0</u>	\$0.00		
ISHARES BARCLAYS AGG.BD FD	464287228	10/07/10	\$52.90	\$0.00	\$0.00	\$0.00		
ISHARES BARCLAYS AGG.BD FD	464287226	11/05/10	\$55.11	\$0.00	\$0.00	\$0.00		
ISHARES BARCLAYS AGG.BD FD	464287226	12/07/10	\$98.71	\$0.00	\$0.00	\$0.00		
ISHARES BARCLAYS AGG.BD FD	464287226	01/04/11	\$68.78	\$0.00	\$0.00	\$0.00		os_
ISHARES BARCLAYS TIPS BD FD	464287176	10/07/10	\$13.54	\$0.00	\$0.00	\$0.00		
ISHARES BARCLAYS TIPS BD FD	464287176	11/05/10	\$25.48	\$0.00	\$0.00	\$0.00		
ISHARES BARCLAYS TIPS BD FD	464287176	12/07/10	\$17.86	\$0.00	\$0.00	\$0.00		
ISHARES BARCLAYS TIPS BD FD	464287176	01/04/11	\$26.26	\$0.00	\$0.00	\$0.00		os
ISHARES DJ US BASIC MTLS SCTR	464287838	09/29/10	\$32.00	\$32.00	\$0.00	\$0.00		
ISHARES DJ US BASIC MTLS SCTR	464287838	12/29/10	\$46.65	\$46.65	\$0.00	\$0.00		
ISHARES DJ US TECH INDEX FUND	464287721	09/29/10	\$6.64	\$6.64	\$0.00	\$0.00		
ISHARES DJ US TECH INDEX FUND	464287721	12/29/10	\$7.40	\$7.40	\$0.00	\$0.00		
ISHARES FTSE/CHINA 25 INDEX FD	464287184	12/30/10	\$19.52	\$19.52	\$0.00	\$2.60	VARIOUS	
ISHARES IBOXX \$ H/Y CORP BND	464288513	10/07/10	\$82.17	\$0.00	\$0.00	\$0.00		
ISHARES IBOXX \$ H/Y CORP BND	464288513	11/05/10	\$84.19	\$0.00	\$0. <u>0</u> 0	\$0.00		
ISHARES IBOXX \$ H/Y CORP BND	464288513	12/07/10	\$82.34	\$0.00	\$0.00	\$0.00		
ISHARES IBOXX \$ H/Y CORP BND	464288513	01/04/11	\$80.73	\$0.00	\$0.00	\$0.00		OS
ISHARES IBOXX INVEST GR COR FD	464287242	10/07/10	\$45.54	\$0.00	\$0.00	\$0.00		
ISHARES IBOXX INVEST GR COR FD	464287242	11/05/10	\$45.35	\$0.00	\$0.00	\$0.00		
ISHARES IBOXX INVEST GR COR FD	464287242	12/07/10	\$44.75	\$0.00	\$0.00	\$0.00		
ISHARES IBOXX INVEST GR COR FD	464287242	01/04/11	\$44.91	\$0.00	\$0.00	\$0.00		os_
ISHARES MSCI AUST INDEX FUND	464286103	12/30/10	\$190.27	\$190.27	\$0.00	\$2.10	VARIOUS	
ISHARES MSCI SPAIN INDEX FUND	464286764	12/30/10	\$63.56	\$58.40	\$0.00	\$8.02	VARIOUS	
ISHARES S&P MID CAP 400 VALUE	464287705	09/30/10	\$51. <u>04</u>	\$45.47	\$0.00	\$0.00		
ISHARES S&P MID CAP 400 VALUE	464287705	12/30/10	\$63.42	\$56.50	\$0.00	\$0.00		
ISHARES S&P SMALL CAP 600 VAL	464287879	09/30/10	\$35.93	\$32.27	\$0.00	\$0.00		

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1099-DIV DIVIDENDS & DISTRIBUTIONS (continued)

DESCRIPTION	CUSIP	PAY DATE	ORDINARY <u>DIVIDENDS</u>	QUALIFIED DIVIDENDS	FEDERAL INCOME TAX WITHHELD	FOREIGN TAX PAID	COUNTRY	NOTES
ISHARES S&P SMALL CAP 600 VAL	464287879	12/30/10	\$62.20	\$55.86	\$0.00	\$0.00		
ISHARES S&P 500 VALUE INDEX	464287408	09/30/10	\$70.35	\$70.35	\$0.00	\$0.00		
ISHARES S&P 500 VALUE INDEX	464287408	12/30/10	\$69.74	\$69.74	\$0.00	\$0.00		
SHARES TR S&P NATL MUN BD FD	464288414	10/07/10	\$0.46	\$0.00	\$0.00	\$0.00		
ISHARES TR S&P NATL MUN BD FD	464288414	11/05/10	\$0.44	\$0.00	\$0.00	\$0.00		
SHARES TR S&P NATL MUN BD FD	464288414	12/07/10	\$0.45	\$0.00	\$0.00	\$0.00		
SHARES TR S&P NATL MUN BD FD	464288414	01/04/11	\$0.45	\$0.00	\$0.00	\$0.00		OS
JEFFERIES TR/J CRB GLBL IND	00162Q601	12/29/10	\$5.15	\$5.15	\$0.00	\$0.00		
KRAFT FOODS INC CL A	50075N104	10/14/10	\$18.27	\$18.27	\$0.00	\$0.00		
LOCKHEED MARTIN CORP	539830109	12/31/10	\$18.75	\$18.75	\$0.00	\$0.00		
MARATHON DIL CD	565849106	12/10/10	\$15.50	\$15.50	\$0.00	\$0.00		
MICROSOFT CORP	594918104	12/09/10	\$38.40	\$38.40	\$0.00	\$0.00		
MITSUI & CO LTD ADR	606827202	12/09/10	\$28.51	\$28.51	\$0.00	\$2.00	JAPAN	
PFIZER INC	717081103	12/01/10	\$36.90	\$36.90	\$0.00	\$0.00		
POWERSHARES WATER RES PTF	73935X575	12/31/10	\$11.46	\$11.46	\$0.00	\$0.00		
PWRSHARES INSURED NY MUNI BND	73936T458	10/29/10	\$1.12	\$0.00	\$0.00	\$0.00		
PWRSHARES INSURED NY MUNI BND	73936T458	11/30/10	\$1.06	\$0.00	\$0.00	\$0.00		
PWRSHARES INSURED NY MUNI BND	73936T458	12/31/10	\$1.32	\$0.00	\$0.00	\$0.00		
QUALCOMM INC	747525103	12/22/10	\$6.65	\$6.65	\$0.00	\$0.00		
REVENUESHARES LARGE CAP ETF	761396100	10/08/10	\$29.24	\$29.24	\$0.00	\$0.00		
REVENUESHARES LARGE CAP ETF	761396100	01/07/11	\$29.56	\$29.56	\$0.00	\$0.00		os
REVENUESHARES MID CAP ETF	781396209	10/08/10	\$10.93	\$10.93	\$0.00	\$0.00		
REVENUESHARES MID CAP ETF	761396209	01/07/11	\$13.76	\$13.76	\$0.00	\$0.00		os
REVENUESHARES SMALL CAP ETF	761396308	10/08/10	\$5.15	\$5.15	\$0.00	\$0.00		
REVENUESHARES SMALL CAP ETF	781396308	01/07/11	\$19.17	\$19.17	\$0.00	\$0.00		DS
ROYAL DUTCH SHELL PLC	780259206	12/17/10	\$47.88	\$47.88	\$0.00	\$7.18	NETHERLANDS	
S&P NORTH AMER NAT RES SECTOR	464287374	12/30/10	\$39.67	\$39.67	\$0.00	\$0.00		
STAPLES INC	855030102	10/14/10	\$8.10	\$8.10	\$0.00	\$0.00		
SUPERVALU INC	868536103	12/15/10	\$7.00	\$7.00	\$0.00	\$0.00		
TOTAL FINA ELF SA	89151E109	12/07/10	\$46.27	\$46.27	\$0.00	\$11.57	FRANCE	
TRANSCANADA CDRP(HLDG CO)	89353D107	10/29/10	\$6.24	\$8.24	\$0.00	\$1.24	CANADA	
UNILEVER PLC (NEW) ADS	904767704	12/15/10	\$8.75	\$8.75	\$0.00	\$0.00		
VALERO ENERGY CP DELA NEW	91913Y100	12/15/10	\$3.60	\$3.60	\$0.00	\$0.00		
VALERO ENERGY OF DELA NEW VAN ECK GLBL ALTERNATIVE ENGY	57060U407	12/30/10	\$19.00	\$12.46	\$0.00	\$0.00		
VANGUARD MEGA CAP 300 VALUE	921910840	09/30/10	\$36.90	\$36.90	\$0.00	\$0.00		
VANGUARD MEGA CAP 300 VALUE	921910840	12/29/10	\$39.30	\$39.30	\$0.00	\$0.00		
VANGUARD MEGA CAP 300 VALUE VANGUARD TOTAL BOND MARKET	921937835	10/07/10	\$33.47	\$0.00	\$0.00	\$0.00		
VANGUARD TOTAL BOND MARKET	921937835	11/05/10	\$34.21	\$0.00	\$0.00	\$0.00		
VANGUARD TOTAL BOND MARKET	921937835	12/07/10	\$32.95	\$0.00	\$0.00	\$0.00		

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MorganStanley SmithBarney

Tax Year 2010

HON CAROLYN MCCARTHY

1099-DIV DIVIDENDS & DISTRIBUTIONS (continued)

DESCRIPTION	CUSIP	PAY DATE	ORDINARY DIVIDENDS	QUALIFIED DIVIDENDS	FEDERAL INCOME TAX WITHHELD	FOREIGN TAX PAID	COUNTRY	NOTES
VANGUARD TOTAL BOND MARKET	921937835	12/31/10	\$52.17	\$0.00	\$0.00	\$0.00		
WINDSTREAM CORP	97381W104	10/15/10	\$60.25	\$60.25	\$0.00	\$0.00		
Total Ordinary Dividends 1099-DIV box 1a			\$2,581.40					
Total Qualified Dividends 1099-DIV box 1b				\$1,520.4 9				
Total Foreign Tax Paid 1099-DIV box 6						\$37.33		

Capital Gain Distributions

DESCRIPTION	CUSIP	PAY DATE	CAPITAL GAIN DISTRIBUTIONS	UNRECAPTURED 1250 GAIN	FEDERAL INCOME TAX WITHHELD	CDLLECTIBLE 28% GAIN	
EATON VANCE TAX-MNGD GLBL	27829C105	12/31/10	\$1.58	\$0.00	\$0.00	\$0.00	
ISHARES BARCLAYS AGG.BD FD	464287226	12/07/10	\$11.86	\$0.00	\$0.00	\$0.00	
VANGUARD TOTAL BOND MARKET	921937835	12/31/10	\$35.25	\$0.00	\$0.00	\$0.00	
Total Capital Gain Distributions 1099-DIV box 2a			\$48.69				
Total Unrecaptured 1250 Gain 1099-DIV box 2b				\$0.00			
Total Californials 200/ Cain, 1000 DIV/box 2d						\$0.00	

Non-Dividend Distributions

		PAY		FEDERAL INCOME	
DESCRIPTION	CUSIP	DATE	AMOUNT	TAX WITHHELD	
EATON VANCE TAX-MNGD GLBL	27829C105	12/31/10	\$105.66	\$0.00	
Total Non-Dividend Distributions 1099-DIV	box 3		\$105.66		
Total Federal Income Tax Withheld 1099-DI	V box 4			\$0. 00	

OS The fund company has determined that this dividend payment which you received in 2011 is reportable as taxable income for 2010.

Tax Year 2010

HON CAROLYN MCCARTHY

1099-INT INTEREST INCOME

Interest Income						
DESCRIPTION	CUSIP	PAY DATE	AMOUNT	FEDERAL INCOME TAX WITHHELD		
MORGAN STANLEY BANK N.A.	061870903	09/29/10	\$0.04	\$0.01		
MORGAN STANLEY BANK N.A.	061870903	10/28/10	\$0.21	\$0.00		
MORGAN STANLEY BANK N.A.	061870903	11/29/10	\$0.88	\$0.00		
MORGAN STANLEY BANK N.A.	061870903	12/30/10	\$1.08	\$0.00	 	
Total Interest Income 1099-INT box 1			\$2.21			

Tax-Exempt Interest

DESCRIPTION	CUSIP	PAY DATE	TAX-EXEMPT INTEREST	FEDERAL INCOME TAX WITHHELD	SPECIFIED PRIVATE ACTIVITY BOND INTEREST	
ISHARES TR S&P NATL MUN BD FD	464288414	10/07/10	\$30.11	\$0.00	\$0.00	
ISHARES TR S&P NATL MUN BD FD	464288414	11/05/10	\$29.03	\$0.00	\$0.00	
ISHARES TR S&P NATL MUN BD FD	464288414	12/07/10	\$29.46	\$0.00	\$0.00	
ISHARES TR S&P NATL MUN BD FD	464288414	01/04/11	\$29.52	\$0.00	\$0.00	
PWRSHARES INSURED NY MUNI BND	73936T458	10/29/10	\$42.44	\$0.00	\$0.00	
PWRSHARES INSURED NY MUNI BND	73936T458	11/30/10	\$40.19	\$0.00	\$0.00	
PWRSHARES INSURED NY MUNI BND	73936T458	12/31/10	\$50.01	\$0.00	\$0.00	
Total Tax-Exempt Interest 1099-INT box 8			\$250.76			
Total Specified Privete Activity Bond Interest 1099	9-INT box 9				\$0.00	
Total Federal Income Tax Withheld 1099-INT box 4				\$0.01		

The amount of tax-exempt interest paid to you in 2010 must be reported on the applicable Form 1040, U.S. individuel income Tax Return, for 2010. The amount of tax-exempt AMT interest paid to you in 2010 must be taken into account in computing the elternative minimum tax reported on Form 1040 for 2010.

MorganStanley SmithBarney

Tax Year 2010

HON CAROLYN MCCARTHY

REALIZED GAIN/(LOSS) SUMMARY

This Gain and Loss Summary is provided for informational purposes only. It is important that you consult with a professional tax advisor regarding your individual tax situation, as Morgan Stanley Smith Barney LLC ("Morgan Stanley Smith Barney") cannot provide you with tax advice. Although Morgan Stanley Smith Barney is providing this information as an additional service, we do not guarantee that it is sufficient for tax reporting purposes, and are not liable for your reliance upon or use of this information. The Gain and Loss Summary is not a substitute 1099 form (or any other appropriate tax form), has not been supplied to the IRS and should not be filed with your taxes.

If cost basis information is not available, gain or (loss) will not be reflected on this Summary. For securities not purchased through Morgan Stanley Smith Barney, including securities purchased elsewhere and later transferred to Morgan Stanley Smith Barney, cost basis information may not be provided. To correct any information supplied by Morgan Stanley Smith Barney, please inform your Financial Advisor. To add cost basis information, you may either inform your Financial Advisor or input the data directly yourself through our client-only Web site, ClientSery, Morgan Stanley Smith Barney will adjust cost basis as appropriate in accordance with tax laws. However, Morgan Stanley Smith Barney does not adjust for all events and you should contact your tax advisor to determine the appropriate information to be used in the preparation of your tax return.

Long Term

				TOTAL COST		
		DATE DATE		ORIGINAL/	REALIZED	
DESCRIPTION	SYMBOL	QUANTITY ACQUIRED SOLD	PROCEEDS	<u>ADJUSTED</u>	GAIN/(LOSS)	
AETNA INC (NEW)(CT)	AET	30.000 01/07/2009 10/25/2010	\$898.00	\$874. <u>5</u> 2 E	\$23.48	
AETNA INC (NEW)(CT)	AET	10.000 01/08/2009 10/25/2010	\$299.33	\$290.35 E	\$8.98	
AETNA INC (NEW)(CT)	AET	12.000 01/14/2009 10/25/2010	\$359.20	\$312.24 E	<u>\$46.96</u>	
AETNA INC (NEW)(CT)	AET	19.000 01/28/2009 10/25/2010	\$568.73	\$633.82 E	\$(65.09)	
ALTRIA GROUP INC	MO_	9.000 08/31/2007 10/25/2010	\$215.57	\$190.38 E	\$25.19	
ALTRIA GROUP INC	MO	10.000 01/04/2008 10/25/2010	\$239.52	\$230.69 E	\$8.83	
ALTRIA GROUP INC	MO	72.000 04/10/2008 10/25/2010	\$1,724.53	\$1,547.32 E	\$177.21	
KIMBERLY CLARK CORP	KMB_	17.000 03/24/2006 10/25/2010	\$1,067.71	\$1,006.24 E	\$61.47	
KIMBERLY CLARK CORP	KMB	12.000 03/15/2007 10/25/2010	\$753,68	\$804.12 E	\$(50.44)	
REYNOLDS AMERICAN INC	RAI	14.000 03/24/2006 10/25/2010	\$847.46	\$748.16 E	\$99.30	
REYNOLDS AMERICAN INC	RAI	22.000 03/15/2007 10/25/2010	\$1,331.73	\$1,321.10 E	\$10.63	
Total Long Term			\$8,305.46		\$346 .52	

The "Total Cost" for Unit Trusta, Mortgage-Backed Securities, and Zero Coupon Bonds have been adjusted to reflect any partial return of principal or capital that may have been paid to you, or accreted interest earned, since your purchase dats. In the event that the accumulated total return of principal or capital is greater than the provided original costs, the adjusted cost will be "0.00".

E This transaction was executed elsewhere and the securities were later transferred to your Morgan Stanley Smith Barney LLC account. The trade history for this transaction was provided to Morgen Stanley Smith Barney LLC by your prior financial institution.



1099 Consolidated Tax Statement **Copy B For Recipient** Tax Year 2010

Morgan Stanley Smith Barney Holdings LLC One New York Plaza 12th Floor New York, NY 10004

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this in

												
	IRS 2010 FORM 1099-DIV - DIVIDENDS AND DISTRIBUTIONS BOX OMB NO. 1545-0110 **CORRECTED*											
1a.	TOTAL ORDINARY DIVIDENDS	\$1,678.48										
1b.	QUALIFIED DIVIDENDS	\$644.30										
2a.	TOTAL CAPITAL GAIN DISTRIBUTIONS	\$139.27										
2b.	UNRECAP, SEC. 1250 GAIN	\$0.00										
2d.	COLLECTIBLES (28%) GAIN	\$0.00										
3.	NON-DIVIDEND DISTRIBUTIONS	\$278.08										
4.	FEDERAL INCOME TAX WITHHELD	\$0.00										
5.	INVESTMENT EXPENSES	\$0.00										
6.	FOREIGN TAX PAID	\$36.32										
8.	CASH LIQUIDATION DISTRIBUTIONS	\$0.00										
9.	NON-CASH LIQUIDATION DISTRIBUTIONS	\$0.00										
	2010 FORM 1099-OID - ORIGINAL ISSUE DIS OMB NO. 1545-0117	COUNT										
1.	ORIGINAL ISSUE DISCOUNT FOR 2010	\$0.00*										
2.	OTHER PERIODIC INTEREST	\$0.00										
4.	FEDERAL INCOME TAX WITHHELD	\$0.00										
6.	OID ON U.S. TREASURY OBLIGATIONS	\$75.10*										
7.	INVESTMENT EXPENSES	\$0.00										
	may not be the correct figure to report on your in instructions on the back.	ncome tax return.										

incom	e is taxable and the IRS determines that it has not been reported.	
IRS BOX	2010 FORM 1099-INT - INTEREST INCOME OMB NO. 1545-0112	
1.	INTEREST INCOME	\$4.44
2.	EARLY WITHDRAWAL PENALTY	\$0.00
3.	INTEREST ON U.S. SAVINGS BONDS AND TREASURY OBLIGATIONS	\$315.00
4.	FEDERAL INCOME TAX WITHHELD	\$0.04
5.	INVESTMENT EXPENSES	\$0.00
6.	FOREIGN TAX PAID	\$0.00
8.	TAX-EXEMPT INTEREST	\$1,103.64
9.	SPECIFIED PRIVATE ACTIVITY BOND INTEREST	\$89.38
10.	TAX-EXEMPT BOND CUSIP NO.	Various
IRS BOX	2010 FORM 1099-MISC - MISCELLANEOUS INCOME OMB NO. 1545-0115	
1.	RENTS	\$0.00
2.	ROYALTIES	\$0.00
3.	OTHER INCOME	\$0.00
4.	FEDERAL INCOME TAX WITHHELD	\$0.00
8.	SUBSTITUTE PAYMENTS IN LIEU OF DIVIDENDS OR INTEREST	. \$0.00
IRS BOX	2010 FORM 1099-B - PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS OMB NO. 1545-0715	
2.	GROSS PROCEEDS LESS COMMISSIONS ON STOCKS, BONDS, ETC	\$0.00
4.	FEDERAL INCOME TAX WITHHELD	\$0.00

MorganStanley SmithBarney

Tax Year 2010

1099-DIV DIVIDENDS & DISTRIBUTIONS

Total Ordinary Divide	nds
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DESCRIPTION	CUSIP	PAY DATE	ORDINARY DIVIDENDS	QUALIFIED !	FEDERAL INCOME TAX WITHHELD	FOREIGN TAX PAID	COUNTRY	NOTES
BLDRS EMERGING MKTS 50 ADR	09348R300	12/31/10	\$35.42	\$35.42	\$0.00	\$0.00		
COHEN&STEERS INFRASTRUCTURE FD	19248A109	09/30/10	\$79.20	\$62.69	\$0.00	\$0.00		CR
COHEN&STEERS INFRASTRUCTURE FD	19248A109	12/31/10_	\$61.91	\$49.01	\$0.00	\$0. 00		CR
EATON VANCE TAX-MNGD GLBL	27829C105	12/31/10	\$17.14	\$17.1 4	\$0.00	\$0.00		
ING GROEP NV 6.1250% SER	456837509	10/15/10	\$90.73	\$90.73	\$0.00	\$0.00		
ISHARES MSCI BRAZIL(FREE)INDEX	464286400	12/30/10	\$262.21	\$8.02	\$0.00	\$17.22	VARIOUS	
ISHARES MSCI BRAZIL(FREE)INDEX	464286400	01/05/11	\$22.29	\$0.68	\$0.00	\$1.46	VARIOUS	OS
JOHN HANCOCK PFD INCM FD III	41021P103	10/29/10	\$58.10	\$28.82	\$0.00	\$0.00		
JOHN HANCOCK PFD INCM FD III	41021P103	11/30/10	\$56.10	\$28.82	\$0.00	\$0.00	-	
JOHN HANCOCK PFD INCM FD III	41021P103	12/31/10	\$56.10	\$28.82	\$0.00	\$0.00		
MARKET VECT.ENV SERV FD	57060U209	12/30/10	\$62.50	\$62.50	\$0.00	\$0.00		
MARKET VECTORS RUSSIA ETF RUSS	57060U506	12/30/10	\$42.96	\$13.97	\$0.00	\$13.52	VARIOUS	
NEUBERGER BERMAN REAL EST	64190A103	10/29/10	\$5.02	\$0,00	\$0,00	\$0.00		CR
NEUBERGER BERMAN REAL EST	64190A103	11/30/10	\$5.02	\$0.00	\$0.00	\$0.00	• •	CR
NEUBERGER BERMAN REAL EST	64190A103	12/31/10	\$5.02	\$0.00	\$0.00	\$0.00		CR
NFJ DIVIDEND INT & PRE STRGY	65337H109	01/07/11	\$225.00	\$156.35	\$0.00	\$0.00		OS
NUVEEN EQTY PREMIUM OPPTY FD	8706EM102	12/31/10	\$21.76	\$21.76	\$0.00	\$0.00		
PIMCO CORPORATE OPPTY FD	722018101	11/01/10	\$57.50	\$1.64	\$0.00	\$0.00		
PIMCO CORPORATE OPPTY FD	72201B101	12/01/10	\$57.50	\$1.64	\$0.00	\$0.00		
PIMCO CORPORATE OPPTY FD	72201B101	12/29/10	\$57.50	\$1.64	\$0.00	\$0.00		
PIMCO CORPORATE OPPTY FD	72201B101	01/07/11	\$345.00	\$9.87	\$0.00	\$0.00		OS
PIONEER MUNI HI INCM ADV TR	723762100	12/20/10	\$20.21	\$0.00	\$0.00	\$0.00		
PWRSHARES INSURED NY MUNI BND	73936T458	10/29/10	\$0,17	\$0.00	\$0.00	\$0.00		
PWRSHARES INSURED NY MUNI BND	73936T458	11/30/10	\$0.17	\$0.00	\$0.00	\$0.00		
PWRSHARES INSURED NY MUNI BND	73936T458	12/31/10	\$0.21	\$0.00	\$0.00	\$0.00		
VAN ECK GLBL ALTERNATIVE ENGY	57060U407	12/30/10	\$28.50	\$18.69	\$0.00	\$0.00	•	
WISDOMTREE INTL BASIC MAT FD	97717W752	12/29/10	\$7.24	\$6.09	\$0.00	\$4.12	VARIOUS	
Total Ordinary Dividends 1099-DIV box 1a			\$1,678.48					
Total Qualified Dividends 1099-DIV box 1b				\$644.30				

Total Foreign Tax Paid 1099-DIV box 6

\$36.32

CONTINUED ON NEXT PAGE

Tax Year 2010

1099-DIV DIVIDENDS & DISTRIBUTIONS (continued)

Capi	tal	Gain	Distri	butions
Cabi		valli	U 1311	DULIUIS

DESCRIPTION	CUSIP	PAY DATE	CAPITAL GAIN DISTRIBUTIONS		FEDERAL INCOME TAX WITHHELD	COLLECTIBLE 28% GAIN	NOTES
COHEN&STEERS INFRASTRUCTURE FD	19248A109	12/31/10	\$17.29	\$0.00	\$0.00	\$0.00	CR
EATON VANCE TAX-MNGD GLBL	27829C105	12/31/10	\$1.98	\$0.00	\$0.00	\$0.00	
SOURCE CAPITAL INC	836144105	12/15/10	\$120.00	\$0.00	\$0.00	\$0.00	
Total Capital Gain Distributions 1099-DIV box 2a			\$139.27				
Total Unrecaptured 1250 Gain 1099-DIV box 2b				\$0.00			

Total Collectible 28% Gain 1099-DIV box 2d

\$0.00

\$0.00

Non-Dividend Distributions

		PAY	ı	FEDERAL INCOME	
DESCRIPTION	<u>CUSIP</u>	DATE	AMOUNT	TAX WITHHELD	NOTES
EATON VANCE TAX-MNGD GLBL	27829C105	12/31/10	\$132.08	\$0.00	
NEUBERGER BERMAN REAL EST	64190A103	10/29/10	\$3.42	\$0.00	CR
NEUBERGER BERMAN REAL EST	64190A103	11/30/10	\$3.42	\$0.00	CR
NEUBERGER BERMAN REAL EST	64190A103	12/31/10	\$3.42	\$0.00	CR
NUVEEN EQTY PREMIUM OPPTY FD	6706EM102	12/31/10	\$135.74	\$0.00	
Total Non-Dividend Distributions 1099-DIV b	юх 3		\$278.08		

OS The fund company has determined that this dividend payment which you received in 2011 is reportable as taxable income for 2010.

1099-INT INTEREST INCOME

Total Federal Incoma Tax Withhald 1099-DIV box 4

Interest Income

		PAY		FEDERAL INCOME
DESCRIPTION	CUSIP	DATE	AMOUNT	TAX WITHHELD
MORGAN STANLEY BANK N.A.	061870903	09/29/10	\$0.14	\$0.04
MORGAN STANLEY BANK N.A.	061870903	10/28/10	\$1.34	\$0.00

CONTINUED ON NEXT PAGE



MorganStanley SmithBarney



1099-INT INTEREST INCOME (continued)

DESCRIPTION	CUSIP	PAY DATE	AMOUNT	FEDERAL INCOME TAX WITHHELD	
MORGAN STANLEY BANK N.A.	061870903	11/29/10	\$1.49	\$0.00	
MORGAN STANLEY BANK N.A.	061870903	12/30/10	\$1.47	\$0.00	
Total Interest Income 1099-INT box 1			\$4.44		

Interest on U.S. Savings Bonds and Treasury Obligations

DESCRIPTION	CUSIP	PAY DATE	AMOUNT	FEDERAL INCOME TAX WITHHELD	
US TSY BOND 9000 18NV15	912810EB0	11/15/10	\$315.00	\$0.00	
Total Interest on U.S. Savings Bonds end Treasury Obligations 1099-INT box 3			\$3 15.00		<u></u>

Tax-Exempt Interest

DESCRIPTION	CUSIP	PAY DATE	TAX-EXEMPT INTEREST	FEDERAL INCOME TAX WITHHELD	SPECIFIED PRIVATE ACTIVITY BOND INTEREST	STATE CODE	
BLACKROCK NY MUNI INC TRUST	09248L106	11/01/10	\$74.25	\$0.00	\$14.48		
BLACKROCK NY MUNI INC TRUST	09248L106	12/01/10	\$74.25	\$0.00	\$14.48		
BLACKROCK NY MUNI INC TRUST	09248L106	12/31/10	\$74.25	\$0.00	\$14.48		
MONROE IMPT BE 4250 *20JN01	61074PFK8	12/01/10	\$637.50	\$0.00	\$0.00	NY	
PIONEER MUNI HI INCM ADV TR	723762100	10/29/10	\$81.00	\$0.00	\$16.70	······································	- "
PIONEER MUNI HI INCM ADV TR	723762100	11/30/10	\$81.00	\$0.00	\$16.70		
PIONEER MUNI HI INCM ADV TR	723762100	12/20/10	\$60.79	\$0.00	\$12.54		
PWRSHARES INSURED NY MUNI BND	73936T458	10/29/10	\$6.60	\$0.00	\$0.00		
PWRSHARES INSURED NY MUNI BND	73936T458	11/30/10	\$ 6.24	\$0.00	\$0.00		
PWRSHARES INSURED NY MUNI BND	73936T458	12/31/10	\$7.76	\$0.00	\$0.00		
Total Tax-Exempt interest 1099-INT box 8	•		\$1,103.64				
Total Specified Private Activity Bond Interest 109	99-INT box 9			\$89.38		<u>.</u>	
Total Federal Income Tax Withheld 1099-INT box	4			\$0.04			

The emount of tax-exempt interest peid to you in 2010 must be reported on the eppliceble Form 1040, U.S. Individuel Income Tex Return, for 2010. The emount of tax-exempt AMT Interest peld to you in 2010 must be taken into eccount in computing the elternative minimum tax reported on Form 1040 for 2010.

\$0.00

\$0.00

\$0.00

CUSIP TOTALS:

1099-OID ORIGINA	L ISSUE DISCO	TAUC				•		
OID on U.S. Treasur	y Obligations							
DESCRIPTION		cus	<u>up</u>		PERIOD OID ACCRUAL	INVESTMENT EXPENSES	FEDERAL INCOM TAX WITHHEL	_
US TSY NOTE THE 3000 12	JL15	91282	BAF7		\$75.10	\$0.00	\$0.0	0
Total OID on U.S. Treasury	Obligations 1099-Oi	D box 6			\$75.10			
Total Investment Expenses	1099-OID box 7					\$0.00		
Total Federal Income Tax W	Ithheld 1099-OID bo	ox 4					\$0.0	0
1099-OID SCHEDUL	ES							<u> </u>
CUSIP: 912828AF7	DE	ESCRIPTION: US	S TSY NOTE TIIN	l 3000 12JL15				
BEG ACCRUAL LOT DATE DAYS	ACCRUAL RATE	FACE AMOUNT	ORIGINAL COST <u>BASIS</u>	ADJUSTED COST <u>Basis</u>	PERIOD OID ACCRUAL	PERIOD OID ADJUSTMENT	PERIOD BOND <u>PREMIUM</u>	PERIOD MARKET DISCOUNT
01 09/24/10 099	0.0399255	\$19,000.00	\$0.00	\$0.00	\$75.10	\$0.00	\$0.00	\$0.00

\$75.10

Payer: Merrill Lynch, Pierce, Fenner & Smith Inc 1800 Merrill Lynch Drive, MSC 0803 Pennington, NJ 08534-4129 Federal Identification Number 13-5674085

* Account Closed as of

2010 TAX REPORTING STATEMENT

12/31/10

1099-DIV	2010 Dividends and Distributions	(OMB NO. 1545-0110)
1b Qualified Dividends 2a Total Capital Gain 2b Unrecap. Sec. 1250 2c Section 1202 Gain. 2d Collectibles (28%) 3 Nondividend Distril 4 Federal Income Tax 5 Investment Expens 6 Foreign Tax Paid 7 Foreign Country or 8 Liquidation Distribution	Jends Distributions Gain Gain Withheld U.S. Possession Lions Cash Lions Non-Cash (Fair Market Value)	3,484.08 4.08 0.00 0.00 0.00 272.54

109	9-INT	2010 Interest Income	(OMB NO. 1545-0112)		
1 2 3 4 5 6 7 8 9	Early Withdrawal Penalty Interest On U.S. Savings B Federal Income Tax Withhe Investment Expenses Foreign Tax Paid Foreign Country or U.S. Por Tax Exempt Interest Specified Private Activity E	onds and Treasury Obligations Idssessionsond Interest	542.48 0.00		

	Summary of 2010 Original Issue Discount Items	
1 6	Original Issue DiscountOriginal Issue Discount on U.S. Treasury Obligations	Amount 0.00 0.00

Amounts of Original Issue Discount are individually reported to the Internal Revenue Service. Refer to the 2010 Original Issue Discount detail section of this statement.

Gross Proceeds from each of your 2010 securities trades are individually reported to the Internal Revenue Service. Refer to the 2010 Gross Proceeds detail section of this statement.

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanctions may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

You may reach a Tax Representative at 1-800-637-6326.

Your Tax Reporting Statement information that follows is a personal summary of your account activity and is not reported to the IRS.

The Capitat Gain and Loss Transaction section is provided to facilitate your review and the preparation of your tax return. In calculating gain (loss), unless otherwise noted, it was assumed that the oldest position was liquidated first, and that an election was in effect to amortize the premium paid on the purchase of taxable bonds. The gain (loss) information may not include return of capital, sales load deferral or wash sales adjustments. RtCs (which may include mutual funds and unit investment trusts) may reclassify principal distributions as capital gains. The Cost Basis for these securities may not have been adjusted on your statement to reflect such reclassifications. Please refer to information provided by the RtC and discuss with your tax advisor. Securities distributed from a retirement account reflect the tax basis on the date of distribution. Other methods for calculating gain (loss) are available. The cost basis for most Original Issue Discount (OID) obligations includes the accretion of OtD. For purposes of allocating originat purchase price to the components of an equity unit consisting of a purchase contract and a debt security subject to a remarketing event, we assumed that the fair market value of the debt security on purchase date was equal to its adjusted issue price. The difference between your original cost and the amount altocabte to the component was altocated to the purchase contract. In making adjustments to the cost basis of the purchase contract, it was assumed that the unit holder included contract adjustment payments in income when received.

Data from Forms 1099 (reportable Dividend and Interest) is also repeated in this summary for your convenience. Additionally, we have included items such as margin interest and select account fees if applicable. Please discuss the deductibility of these items with your tax advisor. For select clients, we have also included a summary of Visa charges and checking activity.

Merrill Lynch is neither a tax return preparer nor tax advisor. Please see your tax advisor for more information.

2010 CAPITAL GAIN AND LOSS TRANSACTIONS

Security Description	Quantity	Date Acquired Cover of Short	Date Liquidated Short Sale	Amortizati Year-to-Date	on/Accretion Life-to-Date	Sales Price	Cost Basis	Gain or (Loss)
SHORT TERM CAPITAL GAINS				· · · · · · · · · · · · · · · · · · ·				
ISHARES MSCI FRANCE INDX	100.0000	06/29/09	05/12/10		***	2,249.21	2,077.70	171.51
ISHARES MSCI SOUTH AFRCA	45.0000 55.0000	06/29/09 07/17/09	03/25/10 03/25/10			2,655.45 3,245.56	2,102.40 2,658.15	553.05 587.41
		Security Subtotal				5,901.01	4,760.55	1,140.46
VANGUARÐ SMALL CAP VALUE	100.0000	08/20/09	05/11/10			6,176.26	4,958.00	1,218.26
MARKET VECTORS RUSSIA	100.0000	06/29/09	05/24/10			2,826.21	2,092.00	734.21
ISHARES MSCI BRAZIL FREE	40.0000 60.0000	06/29/09 07/17/09	05/27/10 05/27/10			2,509.15 3,763.74	2,150.00 3,244.80	359.15 518.94
		Security Subtotal				6,272.89	5, 394. 8 0	878.09
PANERA BREAD CO CL A	13.0000	04/01/09	03/18/10			1,021.92	721.18	300.74
	;	Short Term Capi	tal Gains Subtota	I		24,447.50	20,004.23	4,443.27

2010 TAX REPORTING STATEMENT 2010 CAPITAL GAIN AND LOSS TRANSACTIONS

Security Description	Quantity	Date Acquired Cover of Short	Date Liquidated Short Sale	Amortizatio Year-to-Date	on/Accretion Life-to-Date	Sales Price	Cost Basis	Gain or (Loss)
SHORT TERM CAPITAL LOSSES								
ISHARES MSCI ITALY INDEX	100.0000	09/14/09	05/12/10			1,577.75	1,996.64	(418.89)
		Short Term Capit	tal Losses Subtot	al		1,577.75	1,996.64	(418.89)
NET SHORT TERM CAPITAL GAIL	(LOSS)				· · · · · · · · · · · · · · · · · · ·			4,024.38
LONG TERM CAPITAL GAINS					·····			
AFFILIATED COMP SVCS A	19.0000	03/04/08	02/08/10			353.40	187.85	165.56
AGRIUM INC	10.0000	11/12/08	02/12/10			641.80	339.86	301.94
BOEING COMPANY	15.0000 20.0000 15.0000 7.0000 19.0000	08/08/08 08/12/08 01/29/09 01/30/09 02/02/09	03/18/10 03/18/10 03/18/10 03/18/10 03/18/10			1,058.08 1,410.78 1,058.08 493.77 1,340.26	1,002.47 1,321.99 610.50 289.23 769.57	55.61 88.79 447.58 204.54 570.69
	:	Security Subtotal				5,360.97	3,993.76	1,367.21
ISHARES BARCLAYS TIPS BO	20.0000	06/29/09	08/17/10			2,146.76	2,024.40	122.36
GEN-PROBE INC DELAWARE	16.0000	03/16/09	04/05/10			807.19	721.85	85.34
HALLIBURTON COMPANY	22.0000 20.0000	11/05/08 01/23/08	0 <i>4</i> /05/10 04/05/10			698.72 635.19	428.51 620.86	270.21 14.33
	:	Security Subtotal				1,333.91	1,049.37	28 4 .5 4
HOME DEPOT INC	7.0000 10.0000 30.0000 30.0000	11/30/07 12/12/07 01/18/08 01/23/08	05/24/10 05/24/10 05/24/10 05/24/10			234.49 334.99 1.004.99 1.004.99	201.55 288.30 816.14 875.95	32.94 46.69 188.85 129.04
		Security Subtotal				2, 57 9.46	2,181.94	397.52
NEW YORK CMNTY BANCORP	64.0000 20.0000 47.0000	01/23/09 01/29/09 01/30/09	05/27/10 05/27/10 05/27/10			1,023.98 319.99 <u>751.99</u>	773.80 265.68 638.24	250.18 54.31 113.75
	:	Security Subtotal				2,09 5. 96	1,677.72	418.24
PHILIP MORRIS INTL INC	11.0000	01/14/09	04/05/10			579.26	455.48	123.78
PEPSICO INC	22.0000	03/15/07	04/05/10			1,456.81	1,382.26	74.55
SASOL LTD SPONSORED ADR	17.0000	11/10/08	04/05/10			729.63	470.07	259.56
XEROX CORP	93.0000	03/04/08	02/12/10			813.74	788.18	25.56





2010 TAX REPORTING STATEMENT 2010 CAPITAL GAIN AND LOSS TRANSACTIONS

Security Description	Quantity	Date Acquired Cover of Short	Date Liquidated Short Sale	Amortization Year-to-Date	on/Accretion Life-to-Date	Sales Price	Cost Basis	Gain or (Loss)
WASTE MANAGEMENT INC NEW	18.0000 10.0000 30.0000	01/24/08 02/01/08 02/04/08	04/05/10 04/05/10 04/05/10		***************************************	624.05 346.69 1,040.09	547.18 329.52 997.89	76.87 17.17 42.20
	•	Security Subtotal	0 1700/10			2,010.83	1,874.59	136.24
		Long Term Capit	al Gains Subtotal			20,909.72	17,147.33	3,762.40
LONG TERM CAPITAL LOSSES								
AGRIUM INC	4.0000 6.0000	07/23/08 09/02/08	02/12/10 02/12/10			256.71 385.07	371.38 479.26	(114.67) (94.19)
		Security Subtotal				641.7 8	85 0.64	(208.86)
HALLIBURTON COMPANY	20.0000 15.0000 15.0000	01/11/08 01/14/08 01/22/08	04/05/10 04/05/10 04/05/10			635.18 476.39 476.39	720.21 547.70 479.06	(85.03) (71.31) (2.67)
		Security Subtotal				1,587.96	1,746.97	(159.01)
PHILIP MORRIS INTL INC	6.0000 20.0000	07/14/08 09/11/08	04/05/10 04/05/10			315.95 1,053.18	321.03 1,089.80	(5.08) (36.62)
		Security Subtotal				1,369.1 3	1,410. 83	(41.70)
PEPSICO INC	10.0000 5 . 0000	09/25/07 07/07/08	04/05/10 04/05/10			662.19 331.10	716.10 332.46	(53.91) (1.36)
		Security Subtotal				993.2 9	1,048.56	(55.2 7)
SASOL LTD SPONSORED ADR	10.0000 12.0000	08/08/08 08/11/08	04/05/10 04/05/10			429.19 515.03	523.91 629.68	(94.72) (114.65)
		Security Subtotal				944.22	1,153.59	(209.37)
		Long Term Capit	al Losses Subtota	al		5,536.38	6,210.59	(674.21)
NET LONG TERM CAPITAL GAIN	(LOSS)			•				3,088.19
OTHER TRANSACTIONS	· · · · · · · · · · · · · · · · · · ·							· · · · · · · · · · · · · · · · · · ·
XEROX CORP		02/19/10	02/19/10			6.92	N/A	N/A
		Other Transactio	ns Subtotal			6.92		

2010 CAPITAL GAIN AND LOSS TRANSACTIONS

Security Description

Quantity

Date Acquired Date Liquidated Cover of Short Short Sale

Amortization/Accretion Year-to-Date

Life-to-Date

Sales Price

Cost Basis

Gain or (Loss)

TOTAL CAPITAL GAINS AND LOSSES TOTAL REPORTABLE GROSS PROCEEDS DIFFERENCE

52,478.27 52,478.27

45,358,79 7.112.57

Note: Capital gains and losses in this statement are not reported to the Internal Revenue Service.

^{**} Difference reflects items that are included in the reportable gross proceeds section of your statement but are not included in the gain/loss section (e.g., liquidation of fractional shares and the proceeds from certain tender offers). It also reflects items that are included in the gain/loss section of your statement but not in the reportable gross proceeds section (e.g., option premium received).

N/A Results which cannot be calculated because of insufficient data in the Capital Gain (or Loss) Column and are not included in the Realized Capital Gain and Loss summary.

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
ABBOTT LABS	44 44 44	02/16/10 05/17/10 08/16/10	Dividend	17.60 19.36 19.36	17.60 19.36 19.36	
			Security Subtotal	56.32	56.32	-
ALLSTATE CORP DEL COM	56 56 56	01/05/10 04/01/10 07/01/10		11.20 11.20 11.20	11.20 11.20 11.20	
	56	10/01/10	·	11.20	11.20	
AGRIUM INC	20	01/14/10 01/14/10	Security Subtotal Foreign Dividend Foreign Tax	44 .8 <i>0</i> 1.10 (0.17)	44. 8 0 1.10 0.00	
			Security Subtotal	0.93	1.10	
ALTRIA GROUP INC	191 191 191 191			64.94 66.85 66.85 72.58	64.94 66.85 66.85 72.58	
			Security Subtotal	271.22	271.22	
AXA -SPONS ADR	60		Foreign Dividend Foreign Tax	41.55 (6.23)	41.55 0.00	
			Security Subtotal	35.32	41 .55	
AMEREN CORP	50 50 50	06/30/10	Dividend Dividend Dividend	19.25 19.25 19.25	19.25 19.25 19.25	
			Security Subtotal	57.75	57.75	
AT& T INC	74 74 74	05/03/10	Dividend Dividend Dividend	31.08 31.08 31.08	31.08 31.08 31.08	
			Security Subtotal	93.24	9 3.2 4	
BOEING COMPANY	76	03/05/10	Dividend	31.92	31.92	
CANADIAN PACIFIC RAILWAY LTD	13 13 13	01/25/10 04/26/10 04/26/10		3.03 (0.45) 3.20 (0.48) 3.39 (0.51)	3.03 0.00 3.20 0.00 3.39 0.00	
			Security Subtotal	8.18	9.62	

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
COMPANHIA D SNMNTO BSCO D ESTDO SAO PAULO ADR	68	07/07/10 07/07/10	Foreign Dividend Foreign Tax	45.78 (6.87)	45.78 0.00	
			Security Subtotal	38.91	4 5. 7 8	
CONOCOPHILLIPS	38 38 38	06/01/10	Dividend Dividend Dividend	19.00 20.90 20.90	19.00 20.90 20.90	
			Security Subtotal	60.80	60.80	
CENOVUS ENERGY INC	35 35 35	03/31/10 07/01/10 07/01/10 10/01/10	Foreign Dividend Foreign Tax Foreign Dividend Foreign Tax Foreign Dividend Foreign Tax	6.88 (1.03) 6.80 (1.02) 6.81 (1.02)	6.88 0.00 6.80 0.00 6.81 0.00	
			Security Subtotal	17.42	20.49	
COCA COLA COM	38 38 38	07/01/10	Dividend Dividend Dividend	16.72 16.72 16.72	16.72 16.72 16.72	
			Security Subtotal	50.16	50.16	
DIAMOND OFFSHORE DRLNG	27 27 27 27 27 27	03/01/10 06/01/10 06/01/10 09/01/10	Dividend Dividend Dividend Dividend Dividend Dividend Dividend	3.38 50.63 3.38 37.13 3.38 20.25	3.38 50.63 3.38 37.13 3.38 20.25	
			Security Subtotal	118.15	118.15	
DIAGEO PLC SPSD ADR NEW	9 9	04/12/10 10/25/10	Foreign Dividend Foreign Dividend	7.97 13.31	7.97 13.31	
			Security Subtotal	21.28	21.28	
ENCANA CORP	35 35 35	03/31/10 07/01/10 07/01/10 09/30/10	Foreign Dividend Foreign Tax Foreign Dividend Foreign Tax Foreign Dividend Foreign Tax	7.00 (1.05) 7.00 (1.05) 7.00 (1.05)	7.00 0.00 7.00 0.00 7.00 0.00	
			Security Subtotal	17.85	21.00	

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
FRANCE TELECOM ADR	36 36	07/08/10 09/23/10	Foreign Dividend Foreign Tax Foreign Dividend Foreign Tax	35.32 (5.30) 27.59 (4.14)	35,32 0.00 27,59 0.00	
			Security Subtotal	53.47	62.91	
ISHARES MSCI AUSTRALIA INDEX FUND	300 300		Foreign Dividend Foreign Tax	61.63 (0.68)	61.63 0.00_	
			Security Subtotal	60.9 5	61.63	
ISHARES MSCI SPAIN INDEX FUND	50 50	06/29/10 06/29/10	Foreign Dividend Foreign Tax	59.36 (7.49)	54.54 0.00	
			Security Subtotal	51.87	54.54	
ISHARES S&P 500 VALUE INDEX FUND	195 195	03/31/10 06/29/10		49.17 52.78	49.17 52.78	
			Security Subtotal	101.95	101.9 5	
ISHARES S&P GSSI NATURAL RESOURCES INDEX FUND	100	06/25/10	Dividend	17.90	17.90	
EATON VANCE TAX MAN GLB BUY WRT OPP FD	400 400	06/30/10 09/30/10		17.69 17.69	17.69 17.69	
			Security Subtotal	35.38	35.38	
ISHARES IBOXX \$ INVT GRADE CORP BD FUND	105 105 105 105 105 105 105	02/05/10 03/05/10 04/08/10 05/07/10 06/07/10 07/08/10 08/06/10 09/08/10	Dividend Dividend Dividend Dividend Dividend Dividend Dividend	47.46 46.68 49.21 47.41 46.55 46.20 45.93 44.56	0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.0	
			Security Subtotal	374.00	0.00	
ISHARES BARCLAYS AGGRGT AGGREGATE BD FUND	100 100 100 100 200 200 200 200	03/05/10 04/08/10 04/08/10 05/07/10 05/07/10 06/07/10		32.71 32.30 20.09 12.01 40.33 21.98 40.32 24.40 39.22	0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.0	



Security Description	Ouantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
ISHARES BARCLAYS AGGRGT			· · · · · · · · · · · · · · · · · · ·			
	200	07/08/10	Short Term Capital Gain	23.67	0.00	
	200	08/06/10	Dividend	39.31	0.00	
	200	08/06/10		19.39	0.00	
	200	09/08/10		39.20	0.00	
	200	09/08/10	Short Term Capital Gain	20.50	0.00	
			Security Subtotal	405.43	0.00	
ISHARES BARCLAYS TIPS BO	120		Dividend	24.97	0.00	
PROTECTED SECS FD	120		Dividend	0.53	0.00	
	120		Dividend	52.98	0.00	
	120		Dividend	19.60	0.00	
	120		Dividend	64.97	0.00	
	120		Dividend	33.67	0.00	
	120 100		Dividend	23.05	0.00	
	100	09/08/10	Dividend	3.01	0.00	
			Security Subtotal	222.78	0.00	
VANGUARD SMALL CAP VALUE ETF	100	03/29/10	Dividend	2.90	2.13	r
ISHARES FTSE XINHUA HK	100	06/25/10	Foreign Dividend	52.94	52.94	
CHINA 25 INDEX FUND	100	06/25/10	Foreign Tax	(7.06)	0.00	
			Security Subtotal	45.88	52.94	
POWERSHARES WATER RESOURCES PORTFOLIO	150	06/30/10	Dividend	3.82	3.82	
POWERSHARES GLOBAL	215	01/29/10	Dividend	0.50	0.00	
EXCHANGE TRADED FD TR	215		Dividend	0.50	0.00	
	215	03/31/10	Dividend	0.51	0.00	
	215	04/30/10	Dividend	0.50	0.00	
	515	05/28/10	Dividend	1.20	0.00	
	515		Dividend	1.18	0.00	
	515		Dividend	1.16	0.00	
	515		Dividend	1.15	0.00	
	515	09/30/10	Dividend	1.15	0.00	
			Security Subtotal	7.85	0.00	

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
VANGUARD TOTAL BOND MKT	150 150 150 150 150 150 150	03/05/10 04/08/10 05/07/10 06/07/10 07/08/10 08/06/10	Dividend	37.27 35.03 36.69 35.48 36.62 34.42 34.87 33.90	0.00 0.00 0.00 0.00 0.00 0.00 0.00	
		_	Security Subtotal	284.28	0.00	
ISHARES IBOXX\$ HIGH YIEL CORPORATE BOND FUND	115 115 115 115 115 115 115 140	03/05/10 04/08/10 05/07/10 06/07/10 07/08/10 08/06/10	Dividend	76.22 74.33 75.64 73.64 73.91 71.68 68.89 87.53	0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.0	
			Security Subtotal	601.84	0.00	
FIRST TR ISE REVERE NAT GAS INDEX FD	200	06/30/10	Dividend	8.92	8.92	
ISHARES S&P NATIONAL AMT-FREE MUNICIPAL BOND	98 98 98 98 98 98 98	04/08/10 05/07/10 06/07/10 07/08/10 08/06/10	Dividend Dividend Dividend	0.47 0.48 0.48 0.48 0.45 0.46 0.47	0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.0	
·			Security Subtotal	3.76	0.00	
VANGUARD MEGA CAP 300 VALUE	150 150	03/31/10 06/30/10	Dividend Dividend	30.00 31.20	30.00 31.20	
			Security Subtotal	61.20	61.20	
REVENUESHARES MID CAP ET	260 260	04/09/10 07/09/10		9.94 9.16	9.94 9.16	
			Security Subtotal	19.10	19.10	
REVENUESHARES SMALL CAP	240 240	04/09/10 07/09/10	Dividend Dividend	1.36 4.84	1.36 4.84	
			Security Subtotal	6.20	6.20	



2010 TAX REPORTING STATEMENT 2010 DIVIDENDS AND QUALIFIED DIVIDEND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
REVENUESHARES LARGE CAP	330 330	04/09/10 07/09/10	Dividend Dividend	22.93 23.10	22.93 23.10	
			Security Subtotal	46.03	46.03	
GLAXOSMITHKLINE PLC ADR	128 128 128 128	04/08/10 07/08/10	Foreign Dividend Foreign Dividend Foreign Dividend Foreign Dividend	62.72 73.43 58.92 58.53	62.72 73.43 58.92 58.53	
			Security Subtotal	253. 60	253. 60	
HALLIBURTON COMPANY	92	03/23/10	Dividend	8.28	8.28	
HUDSON CITY BANCORP INC	56 56 56	05/28/10	Dividend Dividend Dividend	8.40 8.40 8.40	8.40 8.40 8.40	
			Security Subtotal	25.2 0	25.2 0	
HEINZ H J CO PV 25CT	22 22 22 22	04/12/10 07/12/10	Dividend Dividend Dividend Dividend	9.24 9.24 9.90 9.90	9.24 9.24 9.90 9.90	
			Security Subtotal	38.28	38.28	
HOME DEPOT INC	77	03/25/10	Dividend	18.19	18.19	
ISHARES TR DOW JONES US TECHNOLOGY SECTOR INDX F	100 100		Dividend Dividend	5.98 7.53	5.98 7.53	
			Security Subtotal	13.51	13.51	
ISHARES D JONES US BASIC MATERIALS SECTOR INDEX F	145 145		Dividend Dividend	15.18 31.61	15.18 31.61	
			Security Subtotal	46.79	46.79	
ISHARES S&P MIDCAP 400/ BARRA VALUE INDEX FUND	160 160		Dividend Dividend	40.77 42.51	36.32 37.87	
			Security Subtotal	83.28	74.19	
ISHARES S&P SMALLCAP 600 VALUE INDEX FUND	185 185		Dividend Dividend	23.81 30.22	21.38 27.14	
			Security Subtotal	5 4.0 3	4 8. 5 2	
KRAFT FOODS INC VA CLA	63 63 63	04/14/10	Dividend Dividend Dividend	18.27 18.27 18.27	18.27 18.27 18.27	
			Security Subtotal	54.81	54.81	

2010 TAX REPORTING STATEMENT 2010 DIVIDENDS AND QUALIFIED DIVIDEND DISTRIBUTIONS

Security Description	Security Description Ouantity Date Transaction Description		Ouantity Date Transaction Description Amount Oualified Di			Remarks
KIMBERLY CLARK	29 29 29 29	04/05/10 07/02/10	Dividend Dividend Dividend Dividend	17.40 19.14 19.14 19.14	17.40 19.14 19.14 19.14	
			Security Subtotal	74.82	74.82	
LOCKHEED MARTIN CORP	25 25	06/25/10	Dividend Dividend	15.75 15.75	15.75 15.75	
	25	09/24/10		15.75	15.75	
MARATHON OIL CORP	62 62 62	06/10/10	Security Subtotal Dividend Dividend Dividend	47.2 5 14.88 15.50 15.50	47.2 5 14.88 15.50 15.50	
			Security Subtotal	4 5.88	45.88	
MICROSOFT CORP	240 240 240	06/10/10	Dividend Dividend Dividend	31.20 31.20 31.20	31.20 31.20 31.20	
			Security Subtotal	93.60	93.60	
MITSUI CO ADR	6	07/01/10 07/01/10	Foreign Dividend Foreign Tax	14.69 (1.03)	14.69 0.00	
			Security Subtotal	13.66	14.69	
NEW YORK CMNTY BANCORP	131 131	02/17/10 05/18/10	Dividend Dividend	32.75 32.75	32.75 32.75	
			Security Subtotal	6 5.5 0	6 5.5 0	
NOKIA CORP SPON ADR	18	05/28/10 05/28/10		8.78 (1.32)	8.78 0.00	
			Security Subtotal	7.46	8.78	
PHILIP MORRIS INTL INC	37 37	01/11/10 04/09/10	Dividend Dividend	21.46 21.46	21.46 21.46	
			Security Subtotal	42.92	42.92	
PEPSICO INC	37 37	01/0 4 /10 03/31/10		16.65 16.65	16.65 16.65	
			Security Subtotal	33.30	33.30	

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
PFIZER INC	205 205 205	06/01/10	Dividend Dividend Dividend	36.90 36.90 36.90	36.90 36.90 36.90	
QUALCOMM INC	35	03/26/10	Security Subtotal Dividend	110.70 5.95	110.70 5.95	
	35 35	06/25/10	Dividend Dividend	6.65 6.65	6.65 6.65	
DEWIND DO ALIEDIOAN INC			Security Subtotal	19.2 5	19. 25	
REYNOLDS AMERICAN INC	36 36 36 36	04/01/10 07/01/10	Dividend Dividend Dividend Dividend	32.40 32.40 32.40 32.40	32.40 32.40 32.40 32.40	
			Security Subtotal	129.60	129.60	
ROYAL DUTCH SHELL PLC SPONS ADR A	57 57 57	03/17/10 06/09/10 06/09/10 09/08/10	Foreign Dividend Foreign Tax Foreign Dividend Foreign Tax Foreign Dividend Foreign Tax	47.88 (7.18) 47.88 (7.18) 47.88 (7.18)	47.88 0.00 47.88 0.00 47.88 0.00	
			Security Subtotal	122.10	143.64	
SK TELECOM ADR	39 39	04/13/10 08/17/10	Foreign Dividend Foreign Tax Foreign Dividend Foreign Tax	32.39 (5.34) 3.71 (0.61)	32.39 0.00 3.71 0.00	
			Security Subtotal	30.15	36.10	
SECTOR SPDR CONSMRS STPL	90 90 90	06/30/10	Dividend Dividend Dividend	10.64 17.29 17.77	10.64 17.29 17.77	
			Security Subtotal	45.70	45.70	
SECTOR SPDR ENERGY	100 100 100	06/30/10	Dividend Dividend Dividend	20.33 25.16 24.92	20.33 25.16 24.92	
			Security Subtotal	70.41	70.41	
STATOIL ASA SHS	48		Foreign Dividend Foreign Tax	44.20 (6.63)	44.20 0.00	TRANSACTION CHANGEO
			Security Subtotal	37 .5 7	44.20	

2010 TAX REPORTING STATEMENT 2010 DIVIDENDS AND QUALIFIED DIVIDEND DISTRIBUTIONS

Security Description	Description Ouantity Date Transaction Description		Transaction Description	Amount	Oualified Dividend	Remarks
STAPLES INC	90 90 90	04/15/10	Dividend Dividend Dividend	7.43 8.10 8.10	7.43 8.10 8.10	
			Security Subtotal	23.63	23.63	
SUPERVALU INC DEL COM	80 80 80	06/15/10	Dividend Dividend Dividend	7.00 7.00 7.00	7.00 7.00 7.00	
			Security Subtotal	21.00	21.00	
TOTAL S.A. SP ADR	30		Foreign Dividend Foreign Tax	41.65 (6.25)	41.65 0.00	
			Security Subtotal	35.40	41.65	
TRANSCANADA CORP	21 21 21	01/29/10 04/30/10 04/30/10 07/30/10	Foreign Dividend Foreign Tax Foreign Dividend Foreign Tax Foreign Dividend Foreign Tax	7.46 (1.12) 8.26 (1.24) 8.11 (1.22)	7.46 0.00 8.26 0.00 8.11 0.00	
			Security Subtotal	20.25	23.83	
UNILEVER PLC NEW ADR	30 30 30	03/17/10 06/16/10 09/15/10		8.15 8.29 8.25	8.15 8.29 8.25	
			Security Subtotal	24.69	2 4.69	
VALERO ENERGY CORP NEW	72 72 72	03/17/10 06/16/10 09/15/10	Dividend	3.60 3.60 3.60	3.60 3.60 3.60	
			Security Subtotal	10.80	10.80	
WINDSTREAM CORP	241 241 241	01/15/10 04/15/10 07/15/10	Dividend	60.25 60.25 60.25	60.25 60.25 60.25	
			Security Subtotal	180.75	180.75	
WAL-MART STORES INC	44 44 44 44	04/05/10 06/01/10	Dividend Dividend Dividend Dividend	11.99 13.31 13.31 13.31	11.99 13.31 13.31 13.31	
			Security Subtotal	51. 9 2	5 1.9 2	
WASTE MANAGEMENT INC NEW	58	03/19/10	Dividend	18.27	18.27	

Security Description	Quantity Date	Transaction Description	Amount	Qualified Dividend	Remarks	
TOTAL DIVIDEND ACTIVI	TY		5,312.31			
TOTAL ORDINARY DIVID TOTAL QUALIFIED DIVID TOTAL FEDERAL INCOME		OFD IN LINE 4 1099-DIV	5,404.21	3,484.08		
	ID (INCLUDED IN LINE 6		(91.90)			

2010 TAX REPORTING STATEMENT 2010 DIVIDENDS AND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Remarks
LONG-TERM CAPITAL GAINS DIST	RIBUTIONS				
EATON VANCE TAX MAN GLB BUY WRT OPP FD	400 400	06/30/10 09/30/10	Long Term Capital Gain Long Term Capital Gain	2.04 2.04	
			Security Subtotal	4.08	
TOTAL LONG-TERM CAPITAL GAIR	NS DISTRIBUTIONS			4.08	
TOTAL CAPITAL GAIN DISTRIBUT	I <mark>ONS (LINE 2A 1099</mark> -	DIV)		4.08	
NONDIVIDEND DISTRIBUTIONS					
EATON VANCE TAX MAN GLB BUY WRT OPP FD	400 400	06/30/10 09/30/10	Prin Payment Prin Payment	136.27 136.27	, , , , , , , , , , , , , , , , , , ,
			Security Subtotal	272.54	
TOTAL NONDIVIDEND DISTRIBUTI	ONS (LINE 3 1099-DI	V)		272.54	
TOTAL FEDERAL INCOME TAX WIT TOTAL FOREIGN TAX PAID (INCLU	THHELD (INCLUDED IDED IN LINE 6 1099	0.00 0.00			



2010 INTEREST INCOME

Security Description	Quantity	Date	Transaction Description	Amount	Remarks
INTEREST					
ML BANK DEPOSIT PROGRAM		01/29/10 02/26/10 03/31/10 04/30/10 05/28/10 06/30/10 07/30/10 08/31/10 09/30/10	Bank Interest	3.57 3.47 2.51 1.49 0.46 4.72 4.97 5.38 4.14	
			Security Subtotal	30.71	
TOTAL INTEREST ACTIVITY				30.71	
TOTAL INTEREST (LINE 1 1099-INT)			30.71	
TOTAL FEDERAL INCOME TAX WIT	THHELD (INCLUDED I	INT)	0.00		

2010 REPORTABLE TAX EXEMPT INCOME

Security Description	Cusip (Quantity	Date	Transaction Description	Total Amount	AMT Amount Remarks
TAX EXEMPT DIVIDENDS						
POWERSHARES GLOBAL		215	01/29/10	Dividend	18.89	0.00
EXCHANGE TRADED FD TR		215		Dividend	18.82	0.00
		215	• • • • • • • •	Dividend	19.33	0.00
		215		Dividend	18.97	0.00
		515		Dividend	45.18	0.00
		515		Dividend	44.71	0.00
		515		Dividend	43.90	0.00
		515		Dividend	43.39	0.00
		515	09/30/10	Dividend	43.24	0.00
				Security Subtotal	296.43	0.00
ISHARES S&P NATIONAL		98	02/05/10	Dividend	30.71	0.00
AMT-FREE MUNICIPAL BOND		98	03/05/10	Dividend	31.15	0.00
		98	04/08/10	Dividend	31.64	0.00
		98	05/07/10	Dividend	31.11	0.00
		98	06/07/10	Dividend	29.65	0.00
		98	07/08/10	Dividend	30.38	0.00
		98	08/06/10	Dividend	30.43	0.00
		98	09/08/10	Dividend	30.98	0.00
				Security Subtotal	246.0 5	0.00
TOTAL TAX EXEMPT DIVIDEN	DS				542.48	0.00
TOTAL FEDERAL INCOME TAX	X WITHHELD (INCLUDED	IN LINE	4 1099-IN	Γ)	0.00 542.48	
TOTAL TAX EXEMPT INTERES TOTAL SPECIFIED PRIVATE A	ACTIVITY BOND INTEREST	T (LINE 9	1099-INT)	542.46	0.00



Payer:
Merrill Lynch, Pierce, Fenner & Smith Inc
1800 Merrill Lynch Drive, MSC 0803
Pennington, NJ 08534-4129
Faderal Identification Number 13-5674085

* Account Closed as of

2010 TAX REPORTING STATEMENT

12/31/10

1a Total Ordinary Dividends	Amount 1,942.48 1,012.69 370.65 0.00 0.00 1,033.97 0.00 0.00 2.03 Various 0.00 0.00

1099-INT	2010 Interest Income	(OMB NO. 1545-0112)
2 Early Withdrawal Interest On U.S. S 4 Federal Income Ta 5 Investment Expen 6 Foreign Tax Paid. 7 Foreign Country o 8 Tax Exempt Intere 9 Specified Private	Penalty	Amount 28.27 0.00 3,031.07 6.00 0.00 0.00 5,651.27 476.72 Various

	Summary of 2010 Original Issue Discount Itema	
1 6	Original Issue Discount Original Issue Discount on U.S. Treasury Obligations	Amount 0.00 257.64

Amounts of Original Issue Discount are individually reported to the Internal Revenue Service. Refer to the 2010 Original Issue Discount detail section of this statement.

	Summary of 2010 Proceeds from Broker & Barter Exchange Transactiona						
2	Gross Proceeds Less Commissions Federal Income Tax Withheld	Amount 87,637.32 0.00					

Gross Proceeds from each of your 2010 securities trades are individually reported to the Internal Revenue Service. Refer to the 2010 Gross Proceeds detail section of this statement.

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanctions may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

You may reach a Tax Representative at 1-800-637-6326.

1099-OID 2010 ORIGINAL ISSUE DISCOUNT (OMB NO. 1545-0117) **Security** Cusip **Position** Held Issue Maturity Remarks Description Number Quantity From To Date Date Amount* **DRIGINAL ISSUE DISCOUNT ON U.S. TREASURY OBLIGATIONS** J.S. TRSY INFLATION NOTE 912828CZ1 23000 01/01/10 04/15/10 10/15/04 64.97 04/15/10 0.875% APR 15 2010 J.S. TRSY INFLATION NOTE 912828AF7 01/01/10 09/24/10 07/15/02 192.67 19000 07/15/12 3.00% JUL 15 2012 TOTAL OID ON U.S. TREASURY OBLIGATIONS (LINE 6 1099-OID) 257.64 **FOTAL ORIGINAL ISSUE DISCOUNT (SUM OF 1 & 6 1099-OID)** 257.64

MPORTANT TAX INFORMATION

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanctions may be Imposed on you if this income is taxable and the IRS determines that it has not bean reported.

Amounts of OID are individually reported by security position to the Internal Revenue Service. These amounts may not always be the correct amounts to report on your noome tax return.

Your Tax Raporting Statement information that follows is a personal summary of your account ectivity and is not reported to the IRS.

The Capital Gain and Loss Transaction saction is provided to facilitate your review and the preparetion of your tax return. In calculating gain (loss), unless otherwise noted, it was assumed that the oldest position was liquidated first, and that an election was in effect to amortize the premium paid on the purchasa of taxable bonds. Tha gain (loss) information may not include return of capital. sales load deferral or wash sales adjustments. RICs (which mey include mutual funds and unit investment trusts) may reclassify principal distributions as capital gains. Tha Cost Basis for thesa securities may not have been adjusted on your statement to reflect such reclassifications. Pleasa refer to information provided by the RIC and discuss with your tax advisor. Sacurities distributed from a retirement account reflect the tax basis on the date of distribution. Other methods for calculating gain (loss) are available. The cost basis for most Original Issue Discount (OID) obligations includes the eccretion of OID. For purposes of allocating original purchasa price to the components of an equity unit consisting of a purchase contract and a debt security subject to a remarketing event, wa assumed that the fair market value of the debt sacurity on purchase data was aqual to its adjusted issue price. The difference between your original cost and the amount allocable to the debt component was allocated to the purchase contract. In making adjustments to the cost basis of the purchase contract, it was assumed that the unit holder included contract adjustment payments in income when received.

Data from Forms 1099 (reportable Dividand and Intarast) is also repeated in this summary for your convenience. Additionally, we heve included items such as margin interest and select account fees if applicable. Please discuss tha daductibility of these items with your tax advisor. For select clients, we hava also included a summary of Visa charges and checking ectivity.

Merrill Lynch is neither a tax return preparer nor tax advisor. Please see your tax advisor for more information.

2010 CAPITAL GAIN AND LOSS TRANSACTIONS

Security Description	Quantity	Date Acquired Cover of Short	Date Liquidated Short Sale	Amortization Year-to-Date	/Accretion Life-to-Date	Sales Price	Cost Basis	Gain or (Loss)
LONG TERM CAPITAL GAINS								
U.S. TRSY INFLATION NOTE	23000.0000	01/16/07	04/15/10	65.02 (A)	1,829.26 (A)	26,310.39	25,021.38 (C)	1,289.01
	L	ong Tarm Capital	Gains Subtotal			26,310.39	25,021.38	1,289.01 /
LONG TERM CAPITAL LOSSES								
WISDOMTREE INTL COMM	195.0000	05/16/07	03/30/10			4,393.35	6,108.15	(1,714.80)
WISDOMTREE INTL IND SEC	180.0000	05/16/07	03/30/10			3,995.31	6,160.95	(2,165.64)
ROCHESTER MUNI FD CL B	1.8190 13.0000 12.0000 13.0000 13.0000 11.0000 11.0000 12.0000 12.0000 12.0000 27.0000	02/23/05 03/23/05 04/27/05 05/25/05 06/22/05 07/27/05 08/24/05 09/28/05 10/26/05 11/23/05 01/25/06 02/22/06	03/15/10 03/15/10 03/15/10 03/15/10 03/15/10 03/15/10 03/15/10 03/15/10 03/15/10 03/15/10 03/15/10 03/15/10 03/15/10			29.13 208.08 192.07 208.08 208.08 176.07 176.07 192.07 192.08 176.07 192.08	32.59 230.76 215.88 236.74 237.25 202.07 202.51 200.75 217.80 216.83 200.76 219.84 484.91	(3.46) (22.68) (23.81) (28.66) (29.17) (26.00) (26.44) (24.68) (25.73) (24.75) (24.69) (27.76)
	S	ecurity Subtotal				2, 558.15	2 ,898. 6 9	(340.54)

2010 TAX REPORTING STATEMENT 2010 CAPITAL GAIN AND LOSS TRANSACTIONS

Security Description	Quantity	Date Acquired Cover of Short	Date Liquidated Short Sale	Amortization Year-to-Date	on/Accretion Life-to-Date	Sales Price	Cost Basis	Gain or (Loss)
ROCHESTER MUNS FD CL A	2876.9420	06/10/03	03/15/10			46,170.00	50,001.06	(3,831.06)
	4.0000	06/25/03	03/15/10			64.19	69.12	(4.93)
	13.0000	07/23/03	03/15/10			208.62	219.83	(11.21)
	13.0000	08/27/03	03/15/10			208.62	216.71	(8.09)
	13.0000	09/24/03	03/15/10			208.62	221.26	(12.64)
	13.0000	10/29/03	03/15/10 03/15/10			208.62 208.63	225.43 227.50	(16.81) (18.87)
	13,0000 12,0000	11/28/03 12/31/03	03/15/10			192.58	211.20	(18.62)
	13.0000	01/28/04	03/15/10			208.63	231.15	(22.52)
	13.0000	02/25/04	03/15/10			208.63	232.96	(24.33)
	13.0000	03/24/04	03/15/10			208.63	233.22	(24.59)
	13.0000	04/28/04	03/15/10			208.63	224.77	(16.14)
	14.0000	05/26/04	03/15/10			224.67	237.30	(12.63)
	14.0000	06/23/04	03/15/10			224.68	237.29	(12.61)
	13.0000	07/28/04	03/15/10			208.63	223.09	(14,46)
	13.0000	08/25/04	03/15/10			208.63	225.94	(17.31)
	13.0000	09/22/04	03/15/10			208.63	227.90	(19.27)
	13.0000	10/27/04	03/15/10			208.63 208.63	229.71 229.05	(21.08) (20.42)
	13.0000	11/24/04	03/15/10			192.58	212. 6 5	(20.42) (20.07)
	12.0000	12/31/04 01/26/05	03/15/10 03/15/10			208.63	231.92	(23.29)
	13.0000 11.0000	01/26/05	03/15/10			176.56	197.12	(20.56)
		Security Subtotal	00/10/10			50,374.67	54,566.1 8	(4,191.51)
	ı	Long Term Cepital	Losses Subtotal			61,321.48	69,733.97	(8,412.49)
NET LONG TERM CAPITAL GA	IN (LOSS)							(7,123.48)
OTHER TRANSACTIONS							<u></u>	
COHEN & STEERS SELECT		03/26/10	03/26/10			5.45	N/A	N/A
	•	Other Transactions	Subtotal			5.4 5		
TOTAL CAPITAL GAINS AND LETOTAL REPORTABLE GROSS DIFFERENCE						87,637.32 87,637.32 0.00 **	94,755.35	(7,123.48)



2010 DIVIDENDS AND QUALIFIED DIVIDEND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
NUVEEN EQTY PREM OPP	500 500 500	07/01/10	Dividend Dividend Dividend	23.21 23.21 21.76	23.21 23.21 21.76	
			Security Subtotal	6 8.18	6 8. 1 8	
BUILDERS ASIA 50 ADR INDEX	140 140	07/30/10 10/29/10	Dividend Dividend	37.62 35.35	37.62 35.35	
			Security Subtotal	7 2.97	72.97	
PIMCO CORPORATE OPPTY FD	500 500 500 500 500 500 500 500	03/01/10 03/30/10 05/03/10 06/01/10 06/29/10 08/02/10 09/01/10	Dividend	57.50 57.50 57.50 57.50 57.50 57.50 57.50 57.50 57.50	1.64 1.64 1.64 1.64 1.64 1.64 1.64 1.64	
			Security Subtotal	517.50	14.76	
EATON VANCE TAX MAN GLB BUY WRT OPP FD	500 500 500	06/30/10	Dividend Dividend Dividend	22.11 22.11 22.11	22.11 22.11 22.11	
			Security Subtotal	66.33	<i>66.</i> 33	
J HANCOCK PREF INCOME 3 INCOME FUND III	500 500 500 500 500 500 500 500	01/29/10 02/26/10 03/31/10 04/30/10 05/28/10 06/30/10 07/30/10 08/31/10 09/30/10	Dividend Dividend	46.55 46.55 46.55 46.55 46.55 46.55 46.55 56.10	23.92 23.92 23.92 23.92 23.92 23.92 23.92 23.92 28.82 28.82	
			Security Subtotal	4 38. 0 5	225.08	

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Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks
NEUBERGER RE SEC INC ESTATE SECS INCOME FD	422 422 422 422 422 422 422 422	02/26/10 03/31/10 04/30/10 05/28/10 06/30/10	Dividend Dividend Dividend Dividend Dividend	5.02 5.02 5.02 5.02 5.02 5.02 5.02 5.02	0.00 0.00 0.00 0.00 0.00 0.00 0.00	
	422	09/30/10		5.02	0.00	
OHEN & STEERS REIT & UTILITIES INC FD	300	03/11/10	Security Subtotal Dividend	4 5. 1 8 51.00	0.00 18.26	
COHEN & STEERS SELECT INFRASTRUCTURE FUND INC	220	06/30/10	Dividend	52.80	41.80	
NFJ DIV INT PREM STRAT AND PREMIUM STRATEGY FD	500 500 500	03/30/10 06/29/10 09/29/10	Dividend	75.00 75.00 75.00	52.12 52.12 52.12	
			Security Subtotal	225. 00	156.36	•
POWERSHARES GLOBAL EXCHANGE TRADED FD TR	80 80 80 80 80 80 80	06/30/10	Dividend Dividend Dividend Dividend Dividend Dividend Dividend Dividend Dividend	0.19 0.19 0.19 0.19 0.19 0.18 0.18 0.18	0.00 0.00 0.00 0.00 0.00 0.00 0.00 0.0	
			Security Subtotal	1.67	0.00	
NISDOMTREE TR INTL BASIC MATERIALS SECTO	175 175 175	04/05/10 07/02/10 09/24/10	Dividend Dividend Dividend	14.36 53.86 21.91	12.08 45.30 18.43	
			Security Subtotal	90.13	75.81	
NG GROEP NV ING PERPETUAL DEBT SEC 6.125%	237 237 237		Foreign Dividend Foreign Dividend Foreign Dividend	90.73 90.73 90.73	90.73 90.73 90.73	
			Security Subtotal	272.19	272.19	

2010 DIVIDENDS AND QUALIFIED DIVIDEND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Qualified Dividend	Remarks	<u> </u>
ISHARES MSCI BRAZIL FREE INDEX FUND	105 105	06/29/10 06/29/10	Foreign Dividend Foreign Tax	30.95 (2.03)	0.95 0.00		
			Security Subtotal	28.92	0.95		
ROCHESTER MUNICIPAL FDS CL B		02/24/10	Dividend Dividend Dividend	0.16 0.16 0.12	0.00 0.00 0.00		
			Security Subtotal	0.44	0.00		
ROCHESTER MUNICPALS FD CL A		01/27/10 02/24/10 03/24/10	Dividend	3.62 3.62 2.85	0.00 0.00 0.00		
			Security Subtotal	10.09	0.00		
TOTAL DIVIDEND ACTIVITY			·	1,940.45			
TOTAL ORDINARY DIVIDENDS TOTAL QUALIFIED DIVIDENDS	(LINE 1A 10	99-DIV)		1,942.48	4 040 50		
TOTAL FEDERAL INCOME TAX TOTAL FOREIGN TAX PAID (INC	WITHHELD	(INCLÚDE	ED IN LINE 4 1099-DIV) 999-DIV)	0.00 (2.03)	1,012.69		

2010 TAX REPORTING STATEMENT 2010 DIVIDENDS AND DISTRIBUTIONS

ecurity Description	Quantity	Date	Transaction Description	Amount	Remarks	
ONG-TERM CAPITAL GAINS DISTI	RIBUTIONS					_
OURCE CAP INC	200 200 200	03/15/10 06/15/10 09/15/10	Long Term Capital Gain Long Term Capital Gain Long Term Capital Gain Security Subtotal	120.00 120.00 120.00 360.00		
SLDRS EMER MKTS 50 ADR	140	01/06/10	Long Term Capital Gain	3.00		
OTAL CAPITAL GAIN DISTRIBUTIONS		03/31/10 06/30/10 09/30/10	Long Term Capital Gain Long Term Capital Gain Long Term Capital Gain Security Subtotal	2.55 2.55 2.55 7.65 370.65		
IUVEEN EQTY PREM OPP	500 500 500	04/01/10 07/01/10 10/01/10	Prin Payment Prin Payment Prin Payment Prin Payment Security Subtotal	144.79 144.79 135.74 4 25.32		
EATON VANCE TAX MAN GLB BUY WRT OPP FD	500 500 500	03/31/10 06/30/10 09/30/10	Prin Payment Prin Payment Prin Payment Security Subtotal	170.34 170.34 170.34 511.02		
HANCOCK PREF INCOME 3 INCOME FUND III	500 500 500 500 500 500 500	01/29/10 02/26/10 03/31/10 04/30/10 05/28/10 06/30/10 07/30/10	Prin Payment	9.55 9.55 9.55 9.55 9.55 9.55 9.55		



2010 TAX REPORTING STATEMENT 2010 DIVIDENDS AND DISTRIBUTIONS

Security Description	Quantity	Date	Transaction Description	Amount	Remarks
NEUBERGER RE SEC INC ESTATE SECS INCOME FD	422 422 422 422 422 422 422	01/29/10 02/26/10 03/31/10 04/30/10 05/28/10 06/30/10	Prin Payment	3.42 3.42 3.42 3.42 3.42 3.42	
	422 422 422	07/30/10 08/31/10 09/30/10	Prin Payment Prin Payment Prin Payment	3.42 3.42 3.42	
			Security Subtotal	30.78	
TOTAL NONDIVIDEND DISTRIBUT	TONS (LINE 3 1099-DI	V)		1,033.97	
TOTAL FEDERAL INCOME TAX WITOTAL FOREIGN TAX PAID (INCL	ITHHELD (INCLUDED UDED IN LINE 6 1099-	IN LINE 4 1099- DIV)	DIV)	0.00	

2010 INTEREST INCOME

Security Description	Quantity	Date	Transaction Description	Amount	Remarks
NTEREST					
AL BANK DEPOSIT PROGRAM		01/29/10 02/26/10 03/31/10 04/30/10 05/28/10 06/30/10	Bank interest	0.57 0.63 1.54 3.64 4.22 5.03	
		08/31/10 09/30/10	Bank Interest Bank Interest	4.58 3.47	
			Security Subtotal	28.27	
TOTAL INTEREST ACTIVITY				28.27	
FOTAL INTEREST (LINE 1 1099-INT)				28.27	
NTEREST ON TREASURY NOTES					
J.S. TREASURY BOND 10.625% AUG 15 2015	··	02/16/10 08/16/10	Interest Interest	956.25 956.25	v.
			Security Subtotal	1,912.50	
J.S. TRSY INFLATION NOTE 0.875% APR 15 2010		04/20/10	Interest	115.11	
J.S. TRSY INFLATION NOTE 3.00% JUL 15 2012		01/15/10 07/15/10	Interest Interest	342.77 345.69	
			Security Subtotal	688. 4 6	
J.S. TREASURY BOND 09.000% NOV 15 2018		05/17/10	Interest	315.00	
TOTAL INTEREST ON TREASURY NO	TES		. 	3,031.07	
TOTAL INTEREST ON US SAVINGS I TOTAL FEDERAL INCOME TAX WITH	BONDS AND TREAS	URY OBLIGAT IN LINE 4 1099-	IONS (LINE 3 1099-INT) INT)	3,031.07	



2010 TAX REPORTING STATEMENT 2010 REPORTABLE TAX EXEMPT INCOME

Security Description	Cusip	Quantity	Date	Transaction Description	Total Amount	AMT Amount Remarks	
TAX EXEMPT DIVIDENDS	17						
PIONEER MU HI INC ADVT		900	01/29/10	Dividend	76.50	15.77	
ADVANTAGE TR		900		Dividend	76.50	15.77	
•		900	03/31/10	Dividend	76.50	15.77	
		900	04/30/10	Dividend	76.50	15.77	
		900	05/28/10		76.50	15.77	
		900	06/30/10	Dividend	76.50	15.77	
		900	07/30/10		76.50	15.77	
		900		Dividend	81.00	16.70	
		900	09/30/10	Dividend	81.00	<u>16.70</u>	
				Security Subtotal	697.50	143.79	
BLACKROCK NY MUNI INC		900	02/01/10	Dividend	74.25	14.48	
		900	03/01/10	Dividend	74.25	14.48	
		900	04/01/10	Dividend	74.25	14.48	
		900		Dividend	74.25	14.48	
		900		Dividend	74.25	14.48	
		900		Dividend	74.25	14.48	
		900		Dividend	74.25	14.48	
		900		Dividend	74.25	14.48	
**		900	10/01/10	Dividend	74.25	14.48	
				Security Subtotal	66 8. 2 5	130.32	
POWERSHARES GLOBAL		80	01/29/10	Dividend	7.02	0.00	
EXCHANGE TRADED FD TR		80	02/26/10	Dividend	7.00	0.00	
	-	80		Dividend	7.19	0.00	
		80	04/30/10	Dividend	7.05	0.00	
		80	05/28/10	Dividend	7.01	0.00	
_		80		Dividend	6.95	0.00	
		80	07/30/10	Dividend	6.82	0.00	
		80	08/31/10	Dividend	6.74	0.00	
		80	09/30/10	Dividend	6.72	0.00	
				Security Subtotal	62.50	0.00	
ROCHESTER MUNICIPAL FDS			01/27/10	Dividend	10.75	3.07	
CL B				Dividend	10.67	3.04	
				Dividend	8.39	2.39	
	-		20.2 10				
•				Security Subtotal	29. 81	8.5 0	

2010 REPORTABLE TAX EXEMPT INCOME

ecurity Description	Cusip	Quantity	Date	Transaction Description	Total Amount	AMT Amount Remarks	
CCHESTER MUNICPALS FD				Dividend Dividend Dividend	244.36 244.36 191.99	69.68 69.68 54.75	
				Security Subtotal	680.71	194.11	
OTAL TAX EXEMPT DIVIDENDS					2,138.77	476.72	
AX EXEMPT INTEREST ON MUNIC	IPAL SECURITIES						
IEW YORK NY SUBSERIES SER F-1 AMBAC SEP05 05.000%SEP01 21	64966FMS0		03/01/10 09/01/10		250.00 250.00	0.00 0.00	
				Security Subtotal	500.00	0.00	
IEW YORK ST TWY AT GEN RV SER G FSA SEP05 04.750%JAN01 30	650009QN6		01/04/10 07/01/10		1,187.50 1,187.50	0.00 0.00	
				Security Subtotal	2,375.00	0.00	
AONROE CNTY NY PUB IMPT OID NPFG JUL07 04.250%JUN01 20	61074PFK8		06/01/10	Interest	637.50	0.00	
TOTAL TAX EXEMPT INTEREST ON	MUNICIPAL SECU	IRITIES			3,512.50	0.00	
TOTAL FEDERAL INCOME TAX WIT TOTAL TAX EXEMPT INTEREST (LII TOTAL SPECIFIED PRIVATE ACTIV	THHELD (INCLUDE) NE 8 1099-INT) ITY BOND INTERE:	O IN LINE 4 ST (LINE 9	4 1099-INT	n)	5,651.27	476.72	





2010 OTHER DISTRIBUTIONS AND CHARGES*

Security Description	Quantity Date	Transaction Description	Total Amount	AMT Amount	Remarks	
NON-TAXABLE MUNICIPAL A	CCRUED INTEREST	PAID			•	
MONROE CNTY NY PUB IMPT OID NPFG JUL07 04.250%JUN01 20	30000 03/18	/10 Interest Paid	(378.96)	0.00		
TOTAL NON-TAXABLE MUNIC	CIPAL ACCRUED IN	TEREST PAID	(378.96)	0.00		

^{*} Information in the Other Distributions and Charges section may have an impact on your Alternative Minimum Tax (AMT) calculation. Consult your Tax Advisor for more details.

LE + C	***		
12/31/2010	Dividend	PIONEER ROND A	AMOUNT &
12/31/2010	Dividend	PIONEER HIGH YIELD B	66.44
12/31/2010	Dividend	EATON VANCE TAX MGD GLBL DIV EQU INC FD	90.72
12/31/2010	Dividend	BLACKROCK INTL GRWTH & INC TR	06.96
12/30/2010	Dividend	FIDELITY ADV ENERGY B	0.68
12/30/2010	Dividend	FIDELITY ADV LATIN AMERICA B	1.53
12/30/2010	Dividend	ISHARES S&P GROW ALLOCATION	29.88
12/30/2010	Dividend	VAN ECK GLBL ALTERNATIVE ENGY	17.10
12/23/2010	Dividend	PIONEER EQUITY INC B	13.32
12/22/2010	Dividend	PIONEER CLASSIC BALANCED B	37.90
12/20/2010	Dividend	GREAT PLAINS ENERGY INC	62.25
12/17/2010	Dividend	FIDELITY ADV REAL ESTATE B	2.90
12/17/2010	Dividend	FIDELITY ADV STRAT DIV & INC B	31.91
12/10/2010	L/T Cap Gain	FIDELITY ADV SMALL CAP B	155.22
12/10/2010	Dividend	FIDELITY ADV ENERGY B	0.27
12/07/2010	Dividend	ISHARES IBOXX \$ H/Y CORP BND	29.41
12/03/2010	S/T Cap Gain	FIDELITY ADV EMERG ASIA B	8.82
12/03/2010	L/T Cap Gain	FIDELITY ADV EMERG ASIA B	166.81
12/03/2010	S/T Cap Gain	FIDELITY ADV LATIN AMERICA B	10.19
12/03/2010	Dividend	FIDELITY ADV LATIN AMERICA B	2.04
11/30/2010	Dividend	PIONEER BOND A	0.05
11/30/2010	Dividend	PIONEER HIGH YIELD B	30.02
11/30/2010	Dividend	EATON VANCE TAX MGD GLBL DIV EQU INC FD	107.10
11/15/2010	Dividend	PROCTER & GAMBLE	96.36
11/05/2010	Dividend	ISHARES IBOXX \$ H/Y CORP BND	30.07
10/29/2010	Dividend	PIONEER BOND A	0.04
10/29/2010	Dividend	PIONEER HIGH YIELD B	29.25
10/15/2010	Dividend	U S BANCORP COM NEW	10.00
10/07/2010	Dividend	ISHARES IBOXX \$ H/Y CORP BND	29.35
10/01/2010	Dividend	FIDELITY ADV STRAT DIV & INC B	9.84
09/30/2010	Dividend	PIONEER BOND A	0.01
09/30/2010	Dividend	PIONEER HIGH YIELD B	7.84
09/30/2010	S/T Cap Gain	FIDELITY ADV LATIN AMERICA B	3.40
09/30/2010	Dividend	ISHARES S&P GROW ALLOCATION	16.14
09/30/2010	Dividend	BLACKROCK INTL GRWTH & INC TR	96.90
09/30/2010	Dividend	EATON VANCE TAX MGD GLBL DIV EQU INC FD	117.00
09/29/2010	S/T Cap Gain	FIDELITY ADV LATIN AMERICA B	11.76
09/29/2010	Dividend	FIDELITY ADV LATIN AMERICA B	19.82
09/29/2010	Dividend	NFJ DIV INT PREM STRAT & PREMIUM STRAT FD	75.75
09/23/2010	Dividend	PIONEER CLASSIC BALANCED B	29.49
09/23/2010	Dividend	PIONEER EQUITY INC B	12.88
09/20/2010	Dividend	GREAT PLAINS ENERGY INC	62.25
09/08/2010	Dividend	FIDELITY ADV REAL ESTATE B	3.02
09/08/2010	Dividend	ISHARES IBOXX \$ H/Y CORP BND	31.26
09/01/2010	Dividend	PIONEER HIGH YIELD B	25.14
09/01/2010	Dividend	PIONEER BOND A	0.00
08/31/2010	Dividend	EATON VANCE TAX MGD GLBL DIV EQU INC FD	107.10
08/16/2010	Dividend	PROCTER & GAMBLE	96.38
08/06/2010	Dividend	ISHARES IBOXX \$ H/Y CORP BND	29.95

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3,776.95

TOTAL DIVIDENDS & CAP GAINS

08/02/2010	Dividend	PIONEER HIGH VIELD B	27.63
08/02/2010	Dividend	PIONEER BOND A	0.09
07/26/2010	Dividend	GENERAL ELECTRIC	20.00
07/15/2010	Dividend	US BANCORP	10.00
07/13/2010	Dividend	FIDELITY ADV STRAT DIV & INC B	4.59
07/08/2010	Dividend	ISHARES IBOXX \$ H/Y CORP BND	31.16
07/01/2010	Dividend	PIONEER HIGH YIELD B	26.09
07/01/2010	Dividend	PIONEER BOND A	80.0
07/01/2010	Dividend		29.59
06/30/2010	Dividend	EATON VANCE TAX-MNGD GLBL BUY WRT OPP	117.00
06/30/2010	Dividend	BLACKROCK INTL GRWTH & INC TR	96.90
06/29/2010	Dividend	NFJ DIV INT PREM STRAT & PREMIUM STRAT FD	75.75
06/25/2010	Dividend	PIONEER CLASSIC BALANCED B	29.40
08/25/2010	Dividend	PIONEER EQUITY INC B	12.87
06/21/2010	Dividend	GREAT PLAINS ENERGY INC	62.25
06/08/2010	Dividend	FIDELITY ADV REAL ESTATE B	1.15
06/07/2010	Dividend	ISHARES IBOXX \$ H/Y CORP BND	32.14
06/01/2010	Dividend	PIONÈÈR HIGH YIELD B	26.09
06/01/2010	Dividend	PIOŃEÈR BONĎ A	60.0
05/28/2010	Dividend	EATON VANCE TAX MGD GLBL DIV EQU INC FD	107.10
05/17/2010	Dividend	PROCTER & GAMBLE	96.36
05/07/2010	Dividend	ISHARES IBOXX \$ H/Y CORP BND	32.02
05/03/2010	Dividend	PIONEER HIGH YIELD B	26.77
05/03/2010	Dividend	PIONEER BOND A	60.0
04/26/2010	Dividend	GENERAL ELECTRIC	20.00
04/15/2010	Dividend	US BANCORP	10.00
04/13/2010	Dividend	FIDELITY ADV STRAT DIV & INC B	9.81
04/08/2010	Dividend	ISHARES IBOXX \$ H/Y CORP BND	32.89
04/01/2010	Dividend	PIONEER HIGH YIELD B	30.38
04/01/2010	Dividend	PIONEER BOND A	90.0
04/01/2010	Dividend	SHARES S&P GROW ALLOCATION	11.56
03/31/2010	Dividend	EATON VANCE TAX-MNGD GLBL BUY WRT OPP	117.00
03/31/2010	Dividend	BLACKROCK INTL GRWTH & INC TR	129.70
03/30/2010	Dividend	NFJ DIV INT PREM STRAT & PREMIUM STRAT FD	75.75
03/26/2010	Dividend	PIONEER CLASSIC BALANCED B	29.30
03/26/2010	Dividend	PIONEER EQUITY INC B	12.85
03/19/2010	Dividend	GREAT PLAINS ENERGY INC	62.25
03/09/2010	Dividend	FIDELITY ADV REAL ESTATE B	1.01
03/05/2010	Dividend	ISHARES IBOXX \$ H/Y CORP BND	32.32
03/01/2010	Dividend	PIONEER HIGH YIELD B	30.21
03/01/2010	Dividend	PIONEER BOND A	0.08
02/26/2010	Dividend	EATON VANCE TAX MGD GLBL DIV EQU INC FD	107.10
02/16/2010	Dividend	PROCTER & GAMBLE	88.00
02/05/2010	Dividend	ISHARES IBOXX \$ H/Y CORP BND	33.14
02/01/2010	Dividend	PIONEER HIGH YIELD B	27.89
02/01/2010	Dividend	PIONEER BOND A	0.08
01/25/2010	Dividend	GENERAL ELECTRIC	20.00
01/15/2010	Dividend	US BANCORP	10.00
01/05/2010	Dividend	ISHARES IBOXX \$ H/Y CORP BND	28.99
01/04/2010	Dividend .	NFJ DIV INT PREM STRAT & PREMIUM STRAT FD	75.75

SCHEDULE III—ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

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JON	tinuation Sheet (if needed)	_			_								-			_					_				_	_					7		_
	BLOCK A Asset and/or Income Source				Va	Ye	ar-	CK B -En f A	d	et_								Ty In	ре					oui	nt	_	Inc	om				BLOCK F	
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JT		None	\$1 - \$1,000	\$1,001 - \$15 000	\$15,001 – \$50,700	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$ 00,000	\$500,001 - \$1,000,000	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/FLIND TRUST	Other Type of Income (Specify: e.g., Partnership Income or Farm Income	None	\$1 - \$200	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,00	\$5,001 - \$15,000	\$15,001 \$50,000	\$50,001 - \$10(4,000	\$100,001 - \$1,000,000	\$1,000,001 \$1,000,000	Over \$5,000,00		
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Psge 1_of 5

or dep erty h	t any purchase, sale, or exchange transactions by you, your spouse, endent child during the reporting period of any security or real propell for investment that exceeded \$1,000. Include transactions that	of Tr	Type ansac	ction		Date			Am	oun	t of	Tran	sacti	on		
action dren, ates re cate (In differential loss. Provide a brief description of any exchange trans- Exclude transactions between you, your spouse or dependent chil- ber the purchase or sale of your personal residence, unless it gener- bental income. If only a portion of sn asset is sold, please so Indi- ber., "partial sale"). See example below. In Gains — if a sales transaction resulted in a capital gain in excess 0, check the "capital gains" box and disclose this income on Schedule	PURCHASE	SALE	EXCHANGE	Check Box if Capital Gain Exceeded \$200	(MO/DAY/YR) or Quarterly, Monthly, or Bi-weekly, if applicable	\$1,001-	\$15,001- \$£0,000	C -100,0018	\$ 00,001- \$250,000	\$5*1,001-	\$500,001- \$1,000,000	61,000,000 65,000,000	\$*,000,001- \$< 5,000,000	\$25,000,0001- \$41,000,000	Over \$50,000,000
SP, DC,	JT Asset Example: Mega Corporation Common Stock (partial sale)		Х			10-12-10	, ,	Х				_				
SP			_^_			10-12-10		^								
	See Attached Brokerage										 					
	Statements										Ì					
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	AROLYN THY Quant	Quantity Description 25 ISHARES IBOXX\$ HIGH YIEI	Symbol	Price (\$)	Amount (\$)
1.600	3	CORPORATE BOND FUND) -	1/:/0	2,192.73
Bought	<u>§</u>	400 EATON VANCE TAX MAN GLB BUY WRT OPP FD	ETW	12.6174	5,046.96
Bought 3	8	300 POWERSHARES GLOBAL EXCHANGE TRADED FD TR	PZT	23.4518	7,035.54
Bought 10	8	100 ISHARES BARCLAYS AGGRGT AGGREGATAE BD FUND	AGG	103.1674	10,316.74
Bought 10	0	100 FIRST TR ISE REVERE NAT GAS INDEX FCG FD	FCG	18.2774	1,827.74
Bought 300		300 ISHARES MSCI AUSTRALIA INDEX FUND PRODUCT	EWA	24.04	7,212.00
Bought 100		100 FIRST TR ISE REVERE NAT GAS INDEX FCG FD	FCG	18.1774	1,817.74
Bought 100		100 ISHARES S&P GSSI NATURAL RESOURCES INDEX FUND	IGE	32.8474	3,284.74
Bought 100		100 JEFFERIES TR/J CRB GLBL IND COMM DISCOUNT 46PCT Ref: 29806691	CRBI	43.36	4,442.04
Bought 100		100 POWERSHARES DB COMM TRK INC COMM DISCOUNT 11PCT Ref. 29846394	DBC	25.09	2,615.00
30,00i		30,000 MONROE CNTY NY PUB IMPT OID NPFG JULO7 0.4250%JUN01 20 CALLABLE-MAY AFFECT YIEL BOOK	61074PFK 8	101.396	30,803.11

1099-B	2010 PF	ROCEEDS FR	EDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS (ON				
Security Description	Cusip Number	Quantity	Transaction Description	Trade Date	Amount	Remarks	
J.S. TRSY INFLATION NOTE 0.875% APR 15 2010	912828CZ1	23000.0000	Redemption	04/15/10	26,310.39		
OHEN & STEERS SELECT INFRASTRUCTURE FUND INC	19248A109		Cash/Lieu	03/26/10	5.45		
VISDOMTREE INTL COMM SECTO	97717W745	195.0000	Redemption	03/30/10	4,393.35		
VISDOMTREE INTL IND SEC	97717W679	180.0000	Redemption	03/30/10	3,995.31		
ROCHESTER MUNICIPAL FDS CL B	771362209	159.8190	Sale	03/15/10	2,558.15		
ROCHESTER MUNICPALS FD CL A	771362100	3138.9420	Sale	03/15/10	50,374.67		
TOTAL GROSS PROCEEDS ACT	TIVITY				87,637.32		
TOTAL GROSS PROCEEDS (LINTOTAL FEDERAL INCOME TAX	NE 2 1099-B) WITHHELD (LINI	E 4 1099-B)			87,637.32 0.00		

Gross Proceeds and above transaction details from each of your 2010 securities trades are individually reported to the Internal Revenue Service (less commissions).

MPORTANT TAX INFORMATION

This is important tax information and ia being furnished to the internal Revenue Service. If you are required to file a return, a negligence penalty or other sanctions may be imposed on you if this income ia taxable and the IRS determines that it has not been reported.



1099-B	2010 PR	OCEEDS FR	OM BROKER & BART	ER EXCHANGE TRA	NSACTIONS	(OMB NO. 1545-0715)
Security Description	Cusip Number	Quantity	Transaction Description	Trade Date	Amount	Remarks
AFFILIATED COMP SVCS A	008190100	19.0000	Exchange	02/08/10	353.40	
AGRIUM INC	008916108	20.0000	Sale	02/12/10	1,283.58	
BOEING COMPANY	097023105	76.0000	Sale	03/18/10	5,360.97	
ISHARES MSCI ITALY INDEX FUND	464286855	100.0000	Sale	05/12/10	1,577.75	
ISHARES MSCI FRANCE INDX FUND	464286707	100.0000	Sale	05/12/10	2,249.21	
ISHARES MSCI SOUTH AFRCA INDEX FUND	464286780	100.0000	Sale	03/25/10	5,901.01	
ISHARES BARCLAYS TIPS BO PROTECTED SECS FD	464287176	20.0000	Sale	08/17/10	2,146.76	
VANGUARD SMALL CAP VALUE ETF	922908611	100.0000	Sale	05/11/10	6,176.26	
MARKET VECTORS RUSSIA	57060U506	100.0000	Sale	05/24/10	2,826.21	
GEN-PROBE INC DELAWARE	36866T103	16.0000	Sale	04/05/10	807.19	
HALLIBURTON COMPANY	406216101	92.0000	Sale	04/05/10	2,921.87	
HOME DEPOT INC	437076102	77.0000	Sale	05/24/10	2,579.46	
ISHARES MSCI BRAZIL FREE INDEX FUND	464286400	100.0000	Sale	05/27/10	6,272.89	
NEW YORK CMNTY BANCORP	649445103	131.0000	Sale	05/27/10	2,095.96	
PANERA BREAD CO CL A	69840W108	13.0000	Sale	03/18/10	1,021.92	
PHILIP MORRIS INTL INC	718172109	37.0000	Sale	04/05/10	1,948.39	
PEPSICO INC	713448108	37.0000	Sale	04/05/10	2,450.10	
SASOL LTD SPONSORED ADR	803866300	39.0000	Sale	04/05/10	1,673.85	
XEROX CORP	984121103	93.0000	Sale Cash/Lieu	02/12/10 02/19/10	813.74 6.92	
			Security Subtotal		820.66	
WASTE MANAGEMENT INC NEW	94106L109	58.0000	Sale	04/05/10	2,010.83	
TOTAL GROSS PROCEEDS ACT	TVITY				52,478.27	
TOTAL GROSS PROCEEDS (LINTOTAL FEDERAL INCOME TAX	IE 2 1099-B) WITHHELD (LINE	4 1099-B)			52,478.27 0,00	



MorganStanley SmithBarney

1099 Consolidated Tax Statement
Tax Year 2010 Copy B For Recipient

HON CAROLYN MCCARTHY

Morgan Stanley Smith Barney Holdings LLC

One New York Plaza

12th Floor

New York, NY 10004

Identification Number: 26-4310632

Customer Service: 866-324-6088

This is important tax information and is being furnished to the internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB NO. 1545-0715

Gross Proceeds less commissions and option premiums on stocks, bonds, etc.

			TRADE		FEDERAL INCOME	
DESCRIPTION	<u>CUSIP</u>	QUANTITY	DATE	NET PROCEEDS	TAX WITHHELD	
AETNA INC (NEW)(CT)	00817Y108	71.000	10/25/10	\$2,125.27	\$0.00	
ALTRIA GROUP INC	02209\$103	91.000	10/25/10	\$2,179.62	\$0.00	
KIMBERLY CLARK CORP	494368103	29.000	10/25/10	\$1,821.39	\$0.00	
REYNOLDS AMERICAN INC	761713106	36,000	10/25/10	\$2,179.19	\$0.00	
Total Gross Proceeds 1099-B box 2			-	\$8,305.47		

Total Federal Income Tax Withheld 1099-8 box 4

\$0.00

Name	CArolyn	McCarthy
	_	_

Page 1 of 1

SCHEDULE V— LIABILITIES

Report liabilities of over \$10,000 owed to any one creditor **at any time** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report **revolving charge accounts** (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

		·	Data.					Amo	ount o	f Liab	iiity		· ·	
SP, DC, JT	Creditor		Date Liability incurred Mo/Year	Type of Liability	\$10,001- \$15,000	\$15,001 B	\$50,001- \$100,000	\$100,001 · D	\$250,001- \$500,000	\$500,001- \$1,000,000	\$1,000,001- \$5,000,000	\$5,000,001. ± \$25,000,000	\$25,000,001- \$50,000,000	Over \$50,000,000
	Example:	First Bank of Wilmington, DE	May 1998	Mortgage on 123 Main St., Dover, DE				Х						
	Hamp	ton State Bank		Mortgage of Westhampton Rental House			х							
			. 1790											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than \$335 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$134 or less need not be added towards the \$335 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

	Source	Description	Value
Example:	Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	\$345
	NONE		
		2-4-2	
		71 The second se	

Name	Carolyn	McCarthy	Page_1of_1
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SCHEDULE VII — TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than \$335 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were paid directly by the sponsor or were paid by you and reimbursed by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Dste(s)	City of Depsrture—Destination— City of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Number of days <u>not</u> at aponaor'a expense
Examples:	Chicago Chamber of Commerce	Mar. 2	DC—Chicago—DC	N	N	N	None
Lxamples.	Roycroft Corporation	Aug. 6–11	DC—Los Angeles—Cleveland	Υ	Y	Y	2 Days
	NONE						
	1						
	•						
					127		

	Name	Carol	у.
CHEDIJI E VIII—POSITIONS			_َ

Carolyn McCarthy Page 1___of _1_

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

Position	Name of Organization
Honorary Board Member	New Yorkers Against Gun Violence
Honorary Board Member	Long Island Blood Service

SCHEDULE IX—AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To Terms of Agreement				

_	UNITED STATES HOUSE OF REPRESENTATIVES CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT				S	FORM A Pege 1 of 9 For use by Members, officers, and employees		MAY 12 AM 10: 17		
			. Ackerman ull Name)			202-225-2601 H A	ZIVD	DELIVERI (Office Use Only)		
	Filer Status Member of the U.S. State: NY House of Representatives District: 05				icer Or Employing Office: ployee	be	A \$200 penalty shall be assessed against anyone who files			
	Report Type	Annual (May 15)	☐ Amendment	☐ Ter	minatio	Termination Date:	more than 30 days late.			
PI	RELIMINAF	RY INFORMATION -	- ANSWER EACH	OF THE	SE QU	ESTIONS				
I.	or more from an	spouse have "earned" income (or y aource in the reporting period te and attach Schedule I.		Yes ✓ No	VI	Did you, your apousa, or a dependent child receive any reporting period (i.e., aggregating more then \$335 end nexempt)? If yes, complete and attach Schedule VI.	rtable gift of otherwis	in se Yes ☐ No 🗹		
11.	you for a speech	al or organization make a donati i, appearance, or article in the re te end ettach Schedule II.		Yes √ No	VI	Did you, your spouse, or a dependent child receive eny report. It reimbursements for travel in the reporting period (worth most from one accuracy)? If yes, complete end attach Schedule VII.				
181.	more than \$200 more than \$1,00	ouse, or a dependent child rece in the reporting period or hold a 0 at the end of the period? te and attach Schedule III.	ve "unearned" income of ny reportable asset worth	Yes ✓ No	VI	Did you hold any reportable positions on or before the date ill-current calendar year? If yes, complete and attach Schedule VIII.	of filling in t	the Yes ✓ No 🗌		
IV.	reportable esset period?	ouse, or dependent child purcha In a transaction exceeding \$1,0 ta and attach Schedule IV.		Yes No	✓ IX.	Did you heve any reportable agreement or arrangement with entity? If yes, complate and attach Schedule IX.	an outside	Yes No 🔽		
v.	(more then \$10,0	ouse, or a dependent child heve 100) during the reporting period te and attach Schedule V.		Yes ✓ No		Each question in this part must be answe schedule attached for each "Yes" respons		d the appropriate		
E)			ENDENT, OR TRI	JST INFO	RMAT	ION ANSWER EACH OF THESE QU	_	ONS		
	Trusts-	Detaila regarding "Que	lified Bilnd Truets" eppre	oved by tha Co	mmittee	on Ethics end cartain other "excepted trusts" need no enefiting you, your spouse, or dependent child?	_	Yes No 🗸		
	Exemptions					ne, transactions, or liabilities of a epouse or dependar unlesa you have first conaulted with the Committee o		Yes ☐ No 🗸		

SCHEDULE I - EARNED INCOME

Name Gary L. Ackerman

Page 2 of 9

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, liet the source and amount of any honoraria; liet only the source for other spouse earned income exceeding \$1,000.

Source	Туре	Amount
Pride of Judea Mental Health Center/Jewish Board of Family and Children's Serivces	Spouse Compensation	N/A
Spouse Private Practice/Consulting	Spouse Compensation	N/A

SCHEDULE II - PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

Name Gary L. Ackerman

Page 3 of 9

Liat the aource, activity (i.e., apeech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charitles receiving such payments muat be filed directly with the Committee on Ethics. A green envelope for tranamitting the llat is included in each Member's filing package. Employees may request a green envelope from the Clerk or uae a plain envelope that ia appropriately labeled.

Source	Activity	Date	Amount
Connell Co.	Speech	Oct. 20, 2010	\$2,000

	BLOCK A	BLOCK B	BLOCK C	BLOCK D	BLOCK E
Identify (a a fair mar and (b) er generated Provide ceymbols.) For all IR/self-direct exercised esset held retiremand the instreporting For rental eddreee. For en ow publically activities, Exclude: vacation is	As end other retirement plane (such as 401(k) plans) that are ted (l.e.,plans in which you have the power, even if not , to select the epecific investments), provide the value for each in the account that exceeds the reporting thresholds. For t accounts which ere not self-directed, provide only the name titution holding the account and its value at the end of the period. or other real property held for investment, provide a complete merehip interest in a privately-held bueiness that le not treded, etate the name of the business, the neture of its and its geogrephic location in Block A. Your pereonal residence, including second homes and nomes (unless there was rental income during the reporting	Year-End Value of Asset at close of reporting year. If you use a valuation method other then fair merket value, please epecify the method used. If an asset was sold and ie included only because it ie generated income, the value ehould be "None."	Type of Income Check all columne thet epply. For retirement accounts that do not allow you to choose epecific investments or that generate tax-deferred income (euch as 401(k) plene or IRAs), you may check the "None" column. Dividende, intereet, and capital gaine, even if reinvested, muet be disclosed as Income. Check "None" if the asset genereted no income during the reporting period.	Amount of Income For retirement accounts that do not allow you to choose epecific investments or that generate tax-deferred income (euch ee 401(k) plane or IRAs), you may check the "None" column. For all other essets, indicate the category of income by checking the appropriate box below. Dividende, interest, and capitel geine, even if reinvested, must be dieclosed ae income. Check "None" If no income wae earned or genereted.	Transaction Indicete if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 In reporting year.
nomod). a	Tribco, LLC (newspaper company), Flushing, NY	\$250,001 - \$500,000	None	NONE	
SP	IRANationwide Annuity: Best of America IV Fixed Account	\$15,001 - \$50,000	INTEREST	\$1 - \$200	
	IRAFamily Management Corp.	\$50,001 - \$100,000	See below for specific assets	See below	
	IRANationwide Annuity: Best of America IV Fixed Account (part of Family Management Corp. IRA)	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	
	Pershing AllianceDreyfus Treasury Cash/Money Market Government Account (part of Family Management Corp. IRA)	\$1,001 - \$15,000	None	NONE	

ULE III - ASSETS AND "UNEARNED" INCON	Name Gary	L. Ackerman		Page 5 of 9
Sonus Networks, Inc. Stock (part of Family Management Corp. IRA)	\$1 - \$1,000	None	NONE	
Fairholme Fund (part of Family Management Corp. IRA)	\$1,001 - \$15,000	INTEREST	\$201 - \$1,000	
Melrose Credit Union	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
Citibank (checking/savings/Money Market accounts)	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
Send Word Now (SWN) (stock)	\$15,001 - \$50,000	None	NONE	
IRA Sterling Trust/Esquire Bank	\$50,001 - \$100,000	None	NONE	
Pershing AllianceDreyfus Treasury Cash/Money Market Government Account	\$1 - \$1,000	None	NONE	
Congressional Federal Credit Union	\$1 - \$1,000	None	NONE	
Fidelity Investments, Magellan Fund	\$1,001 - \$15,000	DIVIDENDS/INTE REST	\$1 - \$200	
Webster Bank accounts	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
Manulife	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	
Bethpage Federal Credit Union (proceeds from mortgage refinance)	\$100,001 - \$250,000	INTEREST/DIVID ENDS	\$201 - \$1,000	
Chase Bank accounts	\$1,001 - \$15,000	None	NONE	

SCHEDI	ULE III - ASSETS AND "UNEARNED" IN	ICOME	Name Gary L. Ackerman		Page 6 of 9
DC1	NYS 529 College Savings Plan	\$1,0 \$15,	•	NONE	P All under \$500 purchase various dates
DC2	NYS 529 College Savings Plan	\$1,0 \$15,		NONE	P All under \$500 purchase various dates
DC3	NYS 529 College Savings Plan	\$1,0 \$15,	•	NONE	P All under \$500 purchase various dates
DC4	NYS 529 College Savings Plan	\$1,0 \$15,		NONE	P All under \$500 purchase various dates

SCHEDULE V - LIABILITIES

Name Gary L. Ackerman

Page 7 of 9

Report liabilities of over \$10,000 owed to any one creditor st any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the yesr. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans accured by automobiles, household furniture, or sppliances; and lisbilities owed to a spouse, or the child, parent, or aibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
	Selig Zises	2007	Loan secured by stock	\$15,001 - \$50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Gary L. Ackerman

Page 8 of 9

Identify the eource and liet travel itinerary, dates, and nature of expensee provided for travel and travel-related expensee totaling more than \$335 received by you, your spouse, or e dependent child during the reporting period. Indicate whether a family member eccompanied the treveler at the eponsor's expense, and the amount of time, if any, that was not et the sponsor's expense. Disclosure is required regardless of whether the expenses were reimburated or paid directly by the eponsor. Exclude: Travel-related expenses provided by federal, etate, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Cempaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure DestinationPoint of Return		Food? (Y/N)	Was a Family Member Included? (Y/N)	Days not at sponsor's expense
Aspen Institute	Aug 6-8	NYC-Denver-Aspen-Denver- NYC	Y	Y	Y	None

SCHEDULE VIII - POSITIONS

Name Gary L. Ackerman

Page 9 of 9

Report sil positiona, compensated or uncompensated, held during the current calendar year as an officer, director, truatee of an organization, partner, proprietor, representative, employee, or consultant of sny corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other Institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entitles; positions solely of an honorary nature; and positions listed on Schedule I.

Position		Name of Organization	
Board of Directors (unpaid)	Tribco LLC		
			•

Ι Τ΄	NITED STATES HOUSE OF REPRESENTATIVES ALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT	FORM A Page 1 of 7 For use by Members, officers, and employees	HAND DELIVERI
	Joseph Crowley (Full Name)	202-225-3965 (Daytime Telephone) (U.S. Ho	MAY 16 AM 10: 50 M
	Filer Status Member of the U.S. State: NY House of Representatives District: 07	Officer Or Employing Office: Employee	A \$200 penalty shall be assessed against anyone who files
	Rsport Type Annual (May 15) Amendment Termina	Termination Date: ation	more than 30 days lats.
PR	ELIMINARY INFORMATION - ANSWER <u>EACH</u> OF THESE	QUESTIONS	
I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the raporting period? Yes Volume No If yes, complete end ettach Schedule I.	Did you, your apouse, or e dependent child receive any reportat VI. the reporting period (i.e., eggregating more than \$335 and not o exempt)? If yes, complete end ettach Schedule VI.	therwise Yes No 🗸 !
II.	Did eny individuel or organization make e donation to charity in ileu of paying you for a apeach, appearance, or erticle in the raporting period? Yes No If yes, complete and attach Schedule iI.	VII. reimburaements for travel in the reporting period (worth more to from one source)? If yes, complete and attach Schedule VII.	
III. (Did you, your apouae, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	Did you hold any reportable positions on or before the date of fi VIII. current calendar year? If yes, complete and attach Schedule VIII.	iing in the Yes No 🕢
IV.	Did you, your apouse, or dependent child purchase, seli, or exchange any reportable asset in a transaction axceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	If yes, complete and attach Schedule IX.	outside Yes No 🗸
v. {	Did you, your apouse, or a dependent child heve eny reportable liebliity (more than \$10,000) during the reporting period? Yes No	Each question in this part must be answered	
	If yes, complete and attach Schedule V.	schedule attached for sach "Yes" response.	
	CLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORM Trusts- Details regarding "Qualified Blind Truets" epproved by the Commidisclosed. Heve you excluded from the report details of such a true.	ttee on Ethics and certain other "excepted truets" need not be	
ı	Exemptions Have you excluded from this report eny other assets, "unearned" I because they meet all three tsets for exemption? Do not enswer "		

SCHEDULE I - EARNED INCOME

Name Joseph Crowley

Page 2 of 7

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source		Type Amount	
Virginia Hospital Center	Spouse Salary	N/A	

SC	HEDUL	F III	ASSETS	AND	"UNFA	RNED"	INCOME
u	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	— III - /	MOOL IO	\sim	VILLA		

	BLOCK A	BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or Income Source Identify (a) each esset held for Investment or production of income with a fair merket velue exceeding \$1,000 at the end of the reporting period, end (b) eny other reportable asset or eources of income which generated more than \$200 in "unearned" income during the year. Provide complete names of stocks and mutuel funde (do not use ticker eymbole.) For all IRAs and other retirement plene (euch as 401(k) plans) that are self-directed (i.e.,plene in which you heve the power, even if not exercised, to select the specific investmente), provide the velue for each asset held in the account that exceede the reporting thresholds. For retirement eccounts which ere not self-directed, provide only the neme of the institution holding the account end ite velue at the end of the reporting period. For rental or other real property held for investment, provide e complete address.		Year-End Value of Asse at close of reporting year. If you use a valuation method oth than falr merket velue please specify the method used. If en asset was sold and is included only becaus it ie generated income the velue should be "None."	epply. For retirement eccounts that do not allow you to choose epecific investmente or thet generate tax-deferred income (euch as 401(k) plens or IRAs), you mey check the "None" column. Dividende,	Amount of Income For retirement accounte that do not allow you to choose specific investmente or thet generate tax-deferred income (such as 401(k) plane or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the eppropriete box below. Dividende, interest, and capital geine, even if reinvested, must be disclosed as income. Check "None" If no income was earned or generated.	BLOCK E Transaction Indicate if asset hed purcheses (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
publically activities, Exclude: vacation i	rnership interest in a privately-held business that is not traded, state the name of the business, the nature of its and its geographic location in Block A. Your personal residence, including second homes and homes (unless there was rental income during the reporting and denote the totaling \$5.000 or location processing or any denote the totaling \$5.000 or location processing or any denote the totaling \$5.000 or location processing or any denote the totaling \$5.000 or location processing or any denote the totaling \$5.000 or location processing or any denote the totaling \$5.000 or location processing or any denote the totaling \$5.000 or location processing or any denote the totaling \$5.000 or location in \$1.000 or lo				
	1 Farley Drive, Rensselaer, NY	None	GAINS/RENT	\$15,001 - \$50,000	S
DC	Coca-Cola Co Stock held by spouse for DC-1	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	Coca-Cola Co Stock held by spouse for DC-2	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	Coca-Cola Co Stock held by spouse for DC-3	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
	Congressional Federal Credit Union (previously valued at less than \$1000)	\$50,001 - \$100,000	NONE	NONE	
DC	New York's College Savings Program held by member of Congress for DC-2	\$1,001 - \$15,000	Other: not self- directed	N/A	

SCHED	ULE III - ASSETS AND "UNEARNED" IN	COME	Name Jos	seph Crowley		Page 4 of 7
DC	New York's College Savings Program held by spouse for DC-	1 . ,	001 - 5,000	Other: not self- directed	N/A	
DC	New York's College Savings Program held by spouse for DC-	' '	001 - 5,000	Other: not self- directed	N/A	
SP	Northwestern Mutual IRA - Allianz NFJ Small Cap Value Fund		001 <i>-</i> 5,000	DIVIDENDS	\$1 - \$200	
SP	Northwestern Mutual IRA - American Balanced Fund Class B	, ,	001 - 5,000	DIVIDENDS	\$1 - \$200	
SP	Northwestern Mutual IRA - American High Income Trust Class B	' '	001 - 5,000	DIVIDENDS	\$1 - \$200	
SP	Northwestern Mutual IRA - Europacific Growth Fund Class B		001 - 5,000	DIVIDENDS	\$1 - \$200	
SP	Northwestern Mutual IRA - Federated MID-CAP Index Fund	1	001 - 5,000	DIVIDENDS	\$1 - \$200	
SP	Northwestern Mutual IRA - Fidelity Advisor Small Cap Fund	' '	001 - 5,000	DIVIDENDS	NONE	
SP	Northwestern Mutual IRA - Growth Fund of America Class B		001 - 5,000	DIVIDENDS	NONE	
SP	Northwestern Mutual IRA - Washington Mutual Investors Fund		001 - 5,000	DIVIDENDS	\$1 - \$200	
DC	Procter & Gamble Co Stock held by spouse for DC-1		001 - 5,000	DIVIDENDS	\$1 - \$200	
DC	Procter & Gamble Co Stock held by spouse for DC-2	' '	001 - 5,000	DIVIDENDS	\$1 - \$200	

SCHED	OULE III - ASSETS AND "UNEARNED"	INCOME	Name Jose	ph Crowley		Page 5 of 7
DC	Procter & Gamble Co Stock held by spouse for DC-3	' '	001 <i>-</i> 5,000	DIVIDENDS	\$1 - \$200	
SP	Reliastar Life Insurance Company-Qualified Annuity	I -	5,001 - 0,000	Other: Retirement Account	\$1,001 - \$2,500	

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SCHEDULE IV - TRANSACTIONS

Name Joseph Crowley

Page 6 of 7

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commoditiaa futures, or other accurities when the amount of the transaction exceeded \$1,000. Include transactiona that requited in a loss. Provide a brief description of any axchanga transaction. Do not report a transsction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so Indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	1 Farley Drive, Rensselaer, NY (sale of property)	S	Yes	12-23-2010	\$15,001 - \$50,000

SCHEDULE V - LIABILITIES

Name Joseph Crowley

Page 7 of 7

Report lisbilities of over \$10,000 owed to sny one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or sppliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calender year exceeded \$10,000.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
	Chase Manhattan Mortgage	N/A	Mortgage on 1 Farley Drive, Rensselaer, NY (property was sold 12-23-2010)	\$15,001 - \$50,000

UNITED STATES HOUSE OF REPRESENTATIVES	Form A HAND DELIVERED For use by Members, officers, and employees
CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT	For use by Members, officers, and employees
	LGIS! ATIVE RESOURCE CENTER
Name: Terrold Lewis Nadler Daytime	(2/2) 367-7350 Telephone: (202) 225-5835 2011 MAY -3 PM 3: 55
	4.S. HOUSE OF THE PARTY MC
Filer Status Member of the U.S. State: Officer of the U.S. State:	or Employing Office: A \$200 penalty shall be assessed
Report Annual (May 16, 2011) Amendment	Termination Date: against anyone who files more than 30 days late.
PRELIMINARY INFORMATION — ANSWER <u>EACH</u> OF THES	SE QUESTIONS
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I. No Ves	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? If yes, complete and attach Schedule VI.
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? If yes, complete and attach Schedule VII.
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII. Yes No
IV. Did you, your spouse, or a dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX. Yes No
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes No If yes, complete and attach Schedule V.	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes	No X
EXEMPTION —Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes	No 🔀

Name	Jernid	Lewis	Nadler	Paga 2 of 5
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SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000. See examples below.

Exclude: Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

Source	Туре	Amount	
Keene State	Approved Teaching Fee	\$6,000	
amples: State of Maryland	Legislative Pension	\$9,000	
Civil War Roundtable (Oct. 2nd)	Spouse Speech	\$1,000	
Ontario County Board of Education	Spouse Salary	NA	
New York State Employee Retirement System	Plasion	19903	
New York State Employee Retirement System New York City Employee Retirement System	Pension Souse Pension	NA	
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SCHEDULE III—ASSETS AND "UNEARNED" INCOME

BLOCK A					E	SLOC	ск в			-		Т				-	BLO	CK	С					BI	OCI	K D				1	BLOCK E
Asset and/or Income Source				٧	alu	e o	f As	sse	t			1			Ty				come			A	mo		t of		con	ne			Transaction
Identify (a) eech asset held for investment or production of income with a fair market value exceeding \$1,000 et the end of the reporting period, end (b) eny other reporteble esset or sources of income which generated more then \$200 in "unearned" income during the yeer. Provide complete nemes of stocks end mutual funds (do not use ticker symbols.) For all IRAs and other retirement plans (such as 401(k) plans) that are selt-directed (i.e., plens in which you have the power, even if not exercised, to select the specific investments), provide the velue for each asset held in the eccount thet exceeds the reporting thresholds. For retire-		por ethe eas an a	ting od e sp asse and ate	val ye. othe oeci et wa	ue ar. er t fy th as s inc	of If you han ne m sold slude ne, t	asse fair fair nethe duringed of	et a use ma od u ng t	at o a v arke used he r be	valuate valuat	ationalue alue rting se	n e, g it	reti you tha (su ma Div gei dis if th	iremit to determine the determine to determine the determi	all cho- ene as 4 chec nds eve sed sset	eccose rate 101(ck s, in en in	lumr spe ta: (k) p the nter inco	ns the the cific ex-de plans "N reet, invented extended e	hat apply. For lat do not allow investments or iferred income or ifers, you lone" column, end cepitei sted, must be Check "None" no income dur-	yo th as th in ch Di ev	at go 40° e "N dica eck vide vide inc	tirem eneral (k) pone te t ing ende frei	nent oose ate plan ' col he the the , int inve	acc e si tax- is or cat cat etere ete	count pecific defe IRA n. Fo egoi prop est, a	ts the fice in the	at denves ince /ou i l oth of in e be capi	o not timer ome may ner a ncon ox l ital (t allo	or ch ck ss, oy w. e, ed	Indicate if the asset had purchases (P), saies (5), or exchanges (E) exceeding \$1,000 in reporting year.
ment accounts which are not self-directed, provide only the name of the institution holding the eccount and its value et the end of the reporting period. For rental or other real property held for investment, provide a complete address. For en ownership interest in e privately-held business that is not publicly traded, state the name of the business, the nature of its activities, end its geographic location in Block A. Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); eny deposits totaling \$5.000 or less in e personal checking or saving.	A	8	С	Q	E	F		H	000	200	K 0000							TRUST	p income or Farm income)		it	=	IV	>	S	VII	VIII.	IX	×	ΧI	only a portion of an asset is sold, please indicate as follows: (S) (partial) See below for exemple.
accounts; and env financial interest in, or income derived from, e federal retirement program, including the Thrift Savings Plan. If you so choose, you mey indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the fer left. For e detailed discussion of Schedule III requirements, pleese refer to the instruction booklet.	None	\$1 - \$1,000	\$1,001 - \$15,000	\$15,001 - \$54,000	\$50,001 - \$10,,000	\$100,001 - \$250,000	1 1	49	1 3		\$25,000,001 - \$50,000,000	Over \$50,000, 1.1	NONE	DIVIDENDS	RENT	WTEREST	CAPITAL GAILS	EXCEPTED/BLND TR	Other Type of Income (Specify: e.g., Pertnership income	None	\$1 - \$200	\$201 - \$1,000	\$1,001 - \$2.55	\$2,501 - \$5,000	EC181-815,000	\$15,001 - \$50,000	\$80.001 - \$1cr.Lock	\$100,001 - \$,,000,000	\$1,000,001 - \$5,000,00	Over \$5,000,000	P, S, E
SP, SP Mega Corp. Stock DC, Examples: Simon & Schuster JT 1st Bank of Paducah, KY Accounts		Inc	lefin	ite	Х	X								X	X		х		Royalties				X					х			S (partial)
HSBC BANK				X			ľ						ľ			X					X										_
SP CHASE BANK			X													X				X			,							1	
																			11. [5]											Į.	
												1																		1	

SCHEDULE V— LIABILITIES

Report liabilities of over \$10,000 owed to any one creditor *at any time* during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report *revolving charge accounts* (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

			Data					Am	ount c	f Llab	ility			
SP, DC, JT		Creditor	Date Liability Incurred Mo/Year	Type of Liability	\$10,001- \$15,000	\$15,001- B \$50,000	\$50,001- \$100,000	\$100,001- \$250,000	\$250,001- \$500,000	\$500,001- \$1,000,000	\$1,000,001° B \$6,000,000	\$5,000,001- H \$25,000,000	\$25,000,001- \$50,000,000	Over \$50,000,000
	Example:	First Bank of Wilmington, DE	May 1998	Mortgage on 123 Main St., Dover, DE				Х			TIV	i Ti		
	Citi	bank	2006	Plus Student Loan (paid off in May 2010)					X					
	Chase	Credit Card Services	12/10	Reloving Credit Card	X	51		T.						

SCHEDULE VI— GIFTS

Report the source, a brief description, and the value of all gifts totalling more than \$335 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$134 or less need not be added towards the \$335 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

	Source	Description	Value
Example:	Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	\$345
		L	

Name Terrold Lewis Nadler

Page 5 of 5

SCHEDULE VIII—POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

Position	Name of Organization							
National Vice President	Brai Zion Foundation	(uncompensated)						
Chair	East of Hudson Rail Freight Task Force	(uncompensated)						
Member, NY. BD. of Directors	Anti-Defamation League	(uncompensated)						

SCHEDULE IX—AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement					
			. .				
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ı –		ATES HOUSE OF REPRESEN AR 2010 FINANCIAL DISCLOSURE STATE		FORM A For use by Members, officers, and	Paga 1 of 6 employees	HAND DELIV	ERED
						AVE RESOURCE CLAT	
		Anthony Weiner (Full Nama)		718-520-900 (Daytima Talepho		AY 16 AM 10: 43	MC
		(Contracting)	•	()	055	(Office Use Only)	
	Filer Statue	Member of the U.S. State: NY House of Representatives District: 09		ficer Or Employing Office:		A \$200 penelty shell be accessed egeinst enyone who files	
	Report Type	Annual (May 15) Amendment	☐ Terminatio	Termination Date: n	1	more then 30 daye lete.	
PF	RELIMINAR	Y INFORMATION ANSWER EACH	I OF THESE QL	ESTIONS			
i. II.	or more from any s if yes, complete Did any individual	souse have "earned" income (e.g., salaries or fees) of \$200 source in the reporting period? and attach Schedule I. or organization make a donation to charity in lieu of paying appearance, or article in the reporting period?	Yes V No V	Did you, your spouse, or a dependent child retthe reporting period (i.e., aggregating more the exempt)? If yes, complete and attach Schedule VI Did you, your spouse, or a dependent child retembursements for travel in the reporting per	an \$335 and not othe ceive any reportable	travel or	
	If yes, complete	and attach Schedule II.		from one source)? If yes, complete and attach Schedula VI	I.		
III.	more than \$200 in more than \$1,000 a	use, or a dependent child receive "unearned" income of the reporting period or hold any reportable asset worth at the end of the period? and attach Schedule III.	Yes ✓ No □ V	Did you hold any reportable positions on or boill. current calendar year? If yes, complete and attach Schedula VI		g in the Yes 🗌 No 🗹	
IV.	reportable asset in period?	usa, or dependent child purchase, sell, or exchange any natransaction exceeding \$1,000 during the reporting and attach Schedule IV.	Yes V No D	Did you have any reportable agreement or arra entity? If yes, complete and attach Schedule IX		tside Yes 🗌 No 🗹	
V.	Did you, your apouthan \$10,000) during	use, or a dependent child have any reportable liability (moring the reporting period?	Yes No 🗸	Each question in thie part muet schedule attached for each "Yes	be enewered a	and the appropriate	
<u></u>		and attach Schedule V.	LIOT INFORMAT			TIONS	
E	CLUSION (OF SPOUSE, DEPENDENT, OR TR	USTINFORMAT	ION ANSWER <u>EACH</u> OF TH	1ESE QUES	HUNS	i
	Trusts	Details regarding "Qualified Blind Trusts" appr disclosed. Have you excluded from this report				Yes 🗌 No 🗹	
	Exemptions-	 Have you excluded from this report any other a because they meet all three tests for exemption 					

SCHEDULE I - EARNED INCOME

Name Anthony Weiner

Page 2 of 6

List the source, type, and emount of earned income from eny source (other then the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calender yeer. For e epouse, list the eource end emount of eny honorarie; liet only the source for other spouse eerned income exceeding \$1,000.

Source	Туре	Amount
United States Department of State	Spouse Salary	N/A

SCHEDULE II - PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

Name Anthony Weiner

Page 3 of 6

List the eource, activity (i.e., epeech, appearance, or article), date, end amount of any payment made by the eponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving euch payments must be filed directly with the Committee on Ethics. A green envelope for transmitting the liet is included in each Member'e filing package. Employees may requeet a green envelope from the Clerk or use e plein envelope that le eppropriately labeled.

Source	Activity	Date	Amount
Bill Maher Show -HBO	Appearence	April, 30 2010	\$850

BLOCK A	BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or Income Source Identify (a) each asset held for Investment or production of Income with a fair markat value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or eources of Income which generated more than \$200 in "unearned" income during the year. Provide complete names of stocks and mutual funds (do not use ticker symbols.) For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not axercised, to select the specific investments), provide the valua for each asset held in the account that sxceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of tha reporting period. For rental or other real property held for investment, provide a complete address. For an ownership interest in a privately-held business that is not publically traded, state the name of the business, the nature of its activities, and its geographic location in Block A. Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period): any deposite totaling \$5,000 or location and position are	Year-End Value of Asset at close of reporting year. If you use a valuation method other then fair markat value, please apecify the method used. If sn asset was sold and is included only because It is generated income, the valua should be "None."	Type of Income Check all columns that apply. For retirement accounts that do not ellow you to choose specific Investments or that generate tax-deferred Income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as Income. Check "None" if the asset gensrated no Income during the reporting period.	Amount of Income For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of Income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as incoms. Check "Nons" if no income was earned or ganerated.	Transaction indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
3M Company	\$1,001 - \$15,000	None	NONE	
CR Bard	\$1,001 - \$15,000	None	NONE	
Dow Chemical Company	\$1,001 - \$15,000	None	NONE	
McGraw Hill Compainies	\$1,001 - \$15,000	None	NONE	
Rowan Companies Inc.	\$1,001 - \$15,000	None	NONE	
Sony Corp. ADR	\$1,001 - \$15,000	None	NONE	

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SCHEDULE III - A	ASSETS AND	"INFARNED"	INCOME
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SCHED	ULE III - ASSETS AND "UNEARNED" I	NCOME	Name Antho	ony Weiner		Page 5 of 6
	Teco Energy Inc. E		001 - 5,000	None	NONE	
	Micron Technology Inc.	1	001 - 5,000	None	NONE	
	Zimmer Holdings		001 - 5,000	None	NONE	
	Hewlett-Packard Co.		001 - 5,000	None	NONE	
	Wells Fargo PFD	No	ne	CAPITAL GAINS	\$201 - \$1,000	S
	Capline Corp		001 - 5,000	None	NONE	
	Cisco Systems		001 - 5,000	None	NONE	
	Corning Inc.		001 - 5,000	None	NONE	
	Williams Companies		001 - 5,000	None	NONE	
SP	NIH Credit Union		00,001 - 50,000	INTEREST	\$201 - \$1,000	
	Chesapeake Energy Corp	1 . ,	001 - 5,000	None	NONE	
	Merck & Co. Inc	\$1	- \$1,000	None	NONE	
· <u>-</u>	Accredited Home Lender Pfd.		001 - 5,000	None	NONE	

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SCHEDULE IV - TRANSACTIONS

Name Anthony Weiner

Page 6 of 6

Report any purchase, sale, or exchange by you, your apouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report e transaction between you, your epouse, or your dependent child, or the purchess or eale of your personel residence, unless it is rented out. If only a portion of an asset is aold, pissae ao indicate (i.e., "partiel sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Cisco Systems Inc	Р	N/A	2-5-10	\$1,001 - \$15,000
	Corning Inc	Р	N/A	5-7-10	\$1,001 - \$15,000
	Dow Chemical	S(part)	No	1-26-10	\$1,001 - \$15,000
	Live Nation	P	N/A	5-10-10	\$1,001 - \$15,000
	McGraw-Hill Companies	S(part)	No	2-8-10	\$1,001 - \$15,000
	Motors Liquidation Co	S	No	4-21-10	\$1,001 - \$15,000
	Wells Fargo Pfd Series L	S	Yes	5-7-10	\$1,001 - \$15,000
	Williams Companies	P	N/A	1-26-10	\$1,001 - \$15,000

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	-								· · · · · · · · · · · · · · · · · · ·		1 (181	ATIVE RESOURCE CLATER	
				. VELAZQUEZ uil Name)						202-225-2361 (Daytime Telephone)	2011	MAY 13 PM 2:41 (Office Use Only)	MC
	Filer Status	W	er of the U.S. of Representa	State: atives Distric	-		1 1 1		cer Or Employ oloyee	ying Office:	U.S. HO	A \$200 penalty shall be assessed against anyone who files	
F	Report Type	Annu	al (May 15)	Amendr	ment	☐ Te	rmina	ation	Termination Da	at e :		more than 30 days late.	
PF	RELIMINA	RY INFO	RMATION -	- ANSWER	EACH C	F THE	SEC	QUE	STIONS				
I. II.	or more from a If yes, compl DId any individ	any source in lete and atta dual or orgenia	e "eamed" incoma (a the reporting period ich Schedule I. zation maka s donati se, or srticla in tha re	?	Ye	es 🔽 No	· 🗆	VI.	Did you, your apousa, or a reporting period (i.a., aggre axampt)? If yes, complete and att Did you, your spouse, or a reimbursemants for travei from ona source)?	egating more than \$335 and tach Schedule VI. dependent child recaive ar	not other	wise Yes No 🗸	
ŧII.	Did you, your a more than \$200 more than \$1,0	apouse, or a d 10 in tha report 1000 at the end	ch Schedule II. ependent child rece ding period or hold a of the period? ch Schedule III.	ive "uneamed" inco ny reportabla aaaet		es 🗸 No	• 🗆	VIII	If yes, complete and att Did you hold any reportable current calender year? If yes, complete and att	a positions on or before the	a date of fil	ing in the Yes 🗌 No 📝	
IV.	reportable ass period?	set in a transac	pendent child purchation exceeding \$1,0 sich Schedule IV.			es No	• 🗷	IX.	Did you have any reportabl antity? If yes, complete and att	_	nt with an	outside Yes ☐ No 🗹	
V.	thsn \$10,000) (during the rep	• .	any reportable liab		es 📝 No	· 🗆		Each question in the schedule attached			l and the appropriate	
			ch Schedule V.		D TOLIC	T (1) (E-2	2015	4 = 1				OTIONS	
EX	CLUSION	N OF SP	OUSE, DEP	ENDENT, O	K TRUS	TINFO)RM/	ATI	ON ANSWER E	ACH OF THESE	QUE	STIONS	
	Trusts								on Ethics and certain other enefiting you, your spous			Yes 🗌 No 🗸	
	Exemption	_							e, transactions, or liabili				

SCHEDULE I - EARNED INCOME

Name NYDIA M. VELAZQUEZ

Page 2 of 4

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Туре	Amount
NYC Comptroller's Office	Spouse Salary	N/A
Starcraft Press	Spouse Commissions	N/A

	BLOCK A	BLOCK B	BLOCK C	BLOCK D	BLOCK E
Identify (a a fair mark end (b) an more than provide consumble.) For all IRA self-direct exercised, asset held retirement of the instreporting For rental address. For an ow publically activities, exclude: vacation h	as and other retirement plans (such as 401(k) plans) that are sed (i.e., plens in which you have the power, even if not to select the specific investments), provide the value for each in the account that exceeds the reporting thresholds. For accounts which are not self-directed, provide only the name itution holding the account and its value at the end of the	Year-End Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	Type of Income Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as Income. Check "None" if the asset generated no income during the reporting period.	Amount of Income For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or iRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box tielow. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.	Transaction Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
SP	20th Century ROTH IRA (Growth Fund)	\$15,001 - \$50,000	None	NONE	
JT	84 Woodhull Street, Brooklyn, New York	\$1,000,001 - \$5,000,000	RENT	\$50,001 - \$100,000	
SP	HSBC ROTH IRA (American Century Growth Fund)	\$1,001 - \$15,000	None	NONE	

Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
JT	Chase	April 2003	Home Equity Line of Credit	\$100,001 - \$250,000
JT	Chase	March 2005	Mortgage on 84 Woodhull	\$1,000,001 - \$5,000,000
	Wright Patman CFCU	December 2010	Revolving Charge Account	\$10,001 - \$15,000

UNITED STATES HOUSE OF REPRESENTATIVES CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT	Form A For use by Members, officers, and employees	HAND DELIVERED
Name: MICHAEL G. GPIMM Daytime	e Telephone:(202) 225 337	U.S. HOURSE SER PROSESSENTED
Filer Statua Member of the U.S. State: District: 13 Office Employment Type Annual (May 16, 2011) Member of the U.S. State: District: 13 Amendment	- F7- 9 ·	A \$200 penalty shall be assessed against anyone who files more than 30 days late.
PRELIMINARY INFORMATION — ANSWER EACH OF THE	SE QUESTIONS	
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	VI. Did you, your spouse, or a dependent child reportable gift in the reporting period (i.e., agg than \$335 and not otherwise exempt)? If yea, complete and attach Schedule VI.	d receive any pregating more Yes No
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	VII. Did you, your spouse, or a dependent child reportable travel or reimbursements for travel in period (worth more than \$335 from one source if yes, complete and attach Schedule VII.	in the reporting
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	VIII. Did you hold any reportable positions on of filing in the current calendar year? If yes, complete and attach Schedule VIII.	or before the date Yes No
IV. Did you, your spouse, or a dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	IX. Did you have any reportable agreement or an outside entity? If yes, complete and attach Schedule IX.	arrangement with Yes No
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes No If yes, complete and attach Schedule V.	Each question in this part appropriate schedule attach	
EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFO	RMATION — ANSWER <u>EACH</u> C	F THESE QUESTIONS
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics a excluded from this report details of such a trust benefiting you, your spouse, or dependent		sclosed. Have you Yes No
EXEMPTION —Have you excluded from this report any other assets, "unearned" income, to they meet all three tests for exemption? Do not answer "yes" unless you have first consulted.		child because Yes No X

Name MICHAEL G. GRIMM	Page 2
MICHAEL GIETHIN	

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000. See examples below.

Exclude: Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

Amount Source **Type** Approved Teaching Fee \$6,000 Keene State Legislative Pension \$9,000 State of Maryland Examples: Spouse Speech \$1,000 Civil War Roundtable (Oct. 2nd) Spouse Salary NA Ontario County Board of Education MICHAEL DOYLE, ESQ - DOYLE & BROUNAND LAW PRACTICE Attorney Fees \$5,300.00

Psge 3 of 5

BLOCK A	ľ				В	LOC	CK E	}									BLO	CK	С	Γ				BL	OCK	(D					BLOCK E
Asset and/or Income Source	l			V	alu	e o	f A	sse	t						Ty	уре	e of	ln	come			Α	mo	unt	t of	Inc	con	ne			Transaction
Identify (a) each asset held for investment or production of income with a feir merket value exceeding \$1,000 at the end of the reporting period, and (b) any other reporteble asset or sources of income which generated more then \$200 in "unearned" income during the year. Provide complete nemes of stocks and mutuel funds (do not use ticker symbols.) For all IRAs and other retirement plens (such es 401(k) plans) thet ere self-directed (i.e., plans in which you heve the power, even if not exercised, to select the specific investments), provide the velue for eech asset held in the account that exceeds the reporting thresholds. For retire-	re me ple If ye ge	portetho ease an a	ting od o e sp usse and ateo	yea othe ecil et wa is	ar. I er th fy th as s inc	f you nan ne m old	ou i fair neth duri	use od o ng t	at of a Narketuseon	valuet v d. epo cau	iatio valu ortir use	e, ng it	ref yo tha (so ma Di ga dis	tirent u to at g uch ay vide ins, scio he a	nent cho gene as 4 che ends eve sed	accose rate 101(ck s, ien isse	oun spe ta: (k) p the nter inco nera	ts the cific of th	that apply. For hat do not allow c investments or eferred income s or IRAs), you None" column. t, snd cspitsiested, must be e. Check "None" I no income durod.	yo thas the ine ch Di ev	u to at ge 401 ecki ecki vide en i	eneral (k) j one' te t ing ends if re	oose ate f plan " col the the i, in t	e sp tax-c s or iumn cate app tere:	pecification of the control of the c	ts that fic ir fred as), y or all ry o oriate and ted.	ince ince our loth of ince be cspl	trne ome may ner a ncon ox l itsi	nts (suche asse me belo gsin	or ch ck ts, by w. s,	Indicate if the asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
ment eccounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period. For rental or other real property held for investment, pro- vide a complete address.	Α	s	С	D	Ε	F	G	н	1	J	к	L		-					ome)	1	13	===	IV	٧	۷i	VII	VIII	ıx	x	ΧI	If only a portion of an asset is sold,
For an ownership interest in e privately-held business that is not publicly traded, state the neme of the business, the neture of its ectivities, and its geographic location in Block A. Exclude: Your personal residence, including second homes and vecetion homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personel checking or saving eccounts; end eny financial interest in, or income derived from, a federal retirement program, including the Thrift			00	000	000	0,00,0	\$500,000	M)/Av	55,000,000	200,000	\$50,000,000						S	NO TRUST	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)						90	000	000	\$1,000,000	000'000	0	please indicate as follows: (S) (partial) See below for example.
Savings Plan. If you so choose, you may indicate thet en esset or income source is thet of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the far left. For e deteiled discussion of Schedule III requirements, please refer to the instruction booklet.	None	\$1 - \$1,000	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$50	\$500,001 \$1,001,003	1	\$5,000,001 - \$2	\$25,000,001 - \$	Over \$51,740,000	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLND	Other Type of Income (Specify: e.g., P-rtnershi	None	\$1 - \$200	\$201 - \$1,000	\$1,001 – \$2,500	\$2,501 \$5,01-0	\$5,001 - \$15,000	\$15,001 - \$50,000	0000019-1197-14	\$100,001 - \$1,0	\$- 100'000'1\$	0	S, E
SP, SP Mega Corp. Stock	1				X		1		\top					X	\dashv		X						X								S (partial)
DC, Examples: Simon & Schuster		Ind	lefin	ite															Royalties	<u> </u>		ļ						Χ			
JT 1st Bank of Paducah, KY Accounts	┞				_	X	_	_	+	-	_		Щ		Х										X						
50 BOPHAN AVENUE STATEN ISLAND, N 1031+								X							XΙ										X						
	t	Н			_	∇	f		-	+	十		\forall		\dashv	\dashv				∇		Н		\exists		\Box					
AUSTIN PEFUEL, LLC.						^	_	_	\dashv		\rightarrow		K.						Proceeds of	ho				\Box					::		
NOTE PECEIVABLE FROM SALE OF GLANNI SAYZ, L.C.					X														sale						X						S

Name MICHAEL G. GRIMM

Page 4 of 5

Report liabilities of over \$10,000 owed to any one creditor **at any time** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report **revolving charge accounts** (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

		2-1-					Amo	ount c	f Liab	ility			
SP, DC, JT	Creditor	Data Liability Incurred Mo/Yaar	Type of Liability	\$10,001- \$15,000	\$15,001- B	\$50,001- \$100,000	\$100,001- \$250,000	\$250,001- \$500,000	\$500,001- \$1,000,000	\$1,000,001- \$5,000,000	\$5,000,001 ± \$25,000,000	\$25,000,001- \$50,000,000	Over \$50,000,000
	Example: First Bank of Wilmington, DE	May 1998	Mortgage on 123 Main St., Dover, DE			4-7	Х						
	INDIMAC BANK		MORTGAGE ON SO BORMAN AVE, STATEN ISLAND, N 10314					X					
JT	COMPASS BANK	2007	PERSONAL LOAN		X								
	SALUEMAE	2002	LAW SCHOOL LOAN		X								

SCHEDULE VI— GIFTS

Report the source, a brief description, and the value of all gifts totalling more than \$335 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$134 or less need not be added towards the \$335 disclosure threshold.

Note: The gift rule (House Hule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	\$345
2-1		-

Name MICHAEL G. GPIMN

Page 5 of 5

SCHEDULE VIII—POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

Position		Name of Organization	
MEMBER-	AUSTIN PEFUEL, LLC.		

SCHEDULE IX—AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement	

	TES HOUSE OF R R 2010 FINANCIAL DISCLO		/ES	FORM A Page For use by Members, officers, and emp		SLATIVE RESOURCE CENTER II MAY 13 PM 1: 15
	Carolyn B. Ma (Full Name			202-225-7944 (Daytime Telephone)	HÅ	ND DELIVERED (Office Use Only)
	Member of the U.S. House of Representatives	State: NY District: 14		ficer Or Employing Office:		A \$200 penalty shall be assessed against
1	C***			n		anyone who files more than 30 days late.
PRELIMINARY	INFORMATION ANS	SWER EACH OF TH	HESE QL	ESTIONS		
If yes, complete er Did any individual or you for a speech, app	use have "earned" income (e.g., salar urce in the reporting period? and attach Schedule I. organization make a donation to cha pearance, or article in the reporting p and attach Schedule II.	Yes 🗸	No □ V No ☑ V	Did you, your apouse, or a dependent child receive a the reporting period (i.e., aggregating more than \$33 exempt)? If yes, complete and attach Schedule VI. Did you, your apouse, or a dependent child receive a reimbursements for travel in the reporting period (w from one aource)?	5 and not o	the travel or
Did you, your spouse more than \$200 in the more than \$1,000 at ti	e, or a dependent child receive "unea e reporting period or hold any report the end of the period? nd ettach Schedule III.	rned" income of sble asset worth Yes	No [] V	If yes, complete and attach Schedule VII. Did you hold any reportable positions on or before to current calendar year? If yes, complete end attach Schedule VIII.	he date of fi	lling in the Yes ⋈ No 🎧
IV. Did you, your apouse reportable asset in a period?	e, or dependent child purchase, sell, or dependent child purchase, sell, or transaction exceeding \$1,000 during and attach Schedule IV.	or exchange any the reporting Yes	No 🔽 D	Did you have any reportable agreement or arrangem	ent with an	outside Yes [] No` [✓]
*• (more then \$10,000) d	o, or a dependent child have any repo during the reporting period? and attach Schedule V.	rtable ilability Yes 🔽	No 🗇	Each question in this part must be a schedule attached for each "Yes" re-	nswered	d and the appropriate
		NT, OR TRUST IN	FORMAT	ON - ANSWER EACH OF THES	E UIIE	STIONS
Trusts-	Details regarding "Qualified Bi	nd Trusts" approved by the	e Committee	on Ethics and certain other "excepted trusts" no cenefiting you, your spouse, or dependent child		
Exemptions	Have you excluded from this re	port any other assets "une	amed" Inco	me, transections, or liabilities of a spouse or de unless you have first consulted with the Comm		hild thics. Yes No 📝

SCHEDULE I - EARNED INCOME

Name Carolyn B. Maioney

Page 2 of 8

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Туре	Amount
SEA BAY DEVELOPMENT CORP VIRGINIA BEACH, VIRGINIA A FAMILY OWNED REAL ESTATE BUSINESS	MANAGEMENT FEES	\$25,000

, BLOCK A	BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or Income Source Identify (a) each asset held for Investment or production of income with a fair market value axceeding \$1,000 at the and of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year. Provide complete names of stocks and mutuel funds (do not use tickar symbols.) For all IRAs end other retirement piens (such as 401(k) pians) that are self-directed (i.a., pians in which you have the power, even if not exarcised, to select the specific invastments), provide the value for each asset held in the account that axceed the reporting thresholds. For retirement accounts which ere not self-directed, provide only the name of the inatitution holding the account and its value et the end of the reporting period. For rental or other real property held for invastment, provide a complete address. For an ownership interest in e privately-held business that is not publically traded, state the name of the business, the nature of its ectivities, and its geographic location in Block A.	Year-End Value of Asset at close of reporting year. if you use a valuation method other than fair market vaiue, please specify the method used. if an esset was sold and is included only becauae it is generated income, the value should be "None."	Type of Income Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-defarred Income (such as 401(k) plans or iRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be diaclosed as income. Check "None" if the asset generated no income during the reporting period.	Amount of Income For retirement accounts that do not sllow you to choose specific investments or that generata tax-deferred income (such as 401(k) piens or iRAs), you mey check the "None" column. For all other assets, indicate the category of income by checking the eppropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disciosed as income. Check "None" if no income was earned or generated.	Transaction Indicate if esset had purchases (P), sales (S), or axchanges (E) exceeding \$1,000 in reporting year.
Exclude: Your personal residenca, including second homes and vacation homes (unless there was rental income during the reporting		·		
STOCK - SEA BAY DEVELOPMENT CORP., RESIDENTAL AND COMMERCIAL REAL ESTATE, VIRGINIA BEACH, VA, SEE ATTACHED SCHEDULE 3	\$250,001 - \$500,000	RENT/INTEREST /SUB-S INCOME	\$1,001 - \$2,500	
GREENSEA FARMS, LLC - 1/4 INTEREST, REAL ESTATE, CHESAPEAKE, VA	\$250,001 - \$500,000	RENT/CAPITAL GAINS/PARTNE RSHIP INCOME	\$5,001 - \$15,000	
BOSHER FAMILY LLC, PARTNER IN HPB ENTERPRISES T/A ALBEMARLE PLANTATION, HERTFORD, N.C., SEE SCHEDULE 5	\$1,000,001 - \$5,000,000	RENT/INTEREST /CAPITAL GAINS/PARTNE RSHIP INCOME	NONE	

CHEDULE III - ASSETS A	ND "UNEARNED" INC	OME	Name Caroly	n B. Maloney		Page 4 of 8
ALBEMARLE PI LLC, HOLDS 25 IN HPB ENTERI ALBEMARLE PI REAL ESTATE COMMERCIAL HERTFORD, N. SCHEDULE 4	% INTEREST PRISES T/A _ANTATION, AND VENTURES IN		000,001 - 000,000	RENT/INTEREST /CAPITAL GAINS	NONE	
JEFFERSON IN LLC, REAL EST RESIDENTAL A COMMERCIAL VIRGINIA BEAC SEE SCHEDUL	ATE, ND RENTALS, CH, VA	, ,	000,001 - 000,000	RENT	\$50,001 - \$100,000	
UNDIVIDED INT ACRES - ROUT SOUTHAMPTO	E 64,	I -	5,001 <i>-</i> 0,000	CAPITAL GAINS	NONE	
HOUSE - 206 D WASHINGTON	•		,000,001 - ,000,000	RENT	\$50,001 - \$100,000	
CONDO UNIT 2 MONROE CON ARLINGTON, V	DOMINIUMS,		00,001 <i>-</i> ,000,000	RENT	\$15,001 - \$50,000	
CHASE J.P. MC CHECKING AC	•		,001 - 5,000	INTEREST	\$1 - \$200	
STOCK - BIRDN COUNTRY CLU APARTMENTS, LAND INVESTN VIRGINIA BEAC	B INC. MENT	,	00,001 - ,000,000	RENT	\$5,001 - \$15,000	
STOCK - JTP, I LAND AND REM INVESTMENTS JONESTOWN F CHESAPEAKE,	NC. ITAL ROAD,		5,001 - 0,000	RENT	\$5,001 - \$15,000	The state of the s

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SCHE	EDULE III - ASSETS AND "UNEARNED" IN	COME	Name Carolyn B. Maloney			Page 5 of 8
·	STOCK - BEECHTREE PARK, INC. LAND INVESTMENTS VIRGINIA BEACH AND CHESAPEAKE, VA SEE ATTACHED SCHEDULE 1	1 .	00,001 - 000,000	RENT/INTEREST /CAPITAL GAINS, S-CORP INCOME	\$15,001 - \$50,000	
	STOCK - HOLIDAY VILLAGE, INC. REAL ESTATE INVESTMENTS AND COMMERCIAL RENTALS, VIRGINIA BEACH, VA	1 .	50,001 - 00,000	RENT	\$5,001 - \$15,000	
	R. G BOSHER IRREVOCABLE LIFE INSURANCE TRUSTS, INVESTMENTS	1 -	00,001 - .000,000	CAPITAL GAINS/DIVIDEN DS/INTEREST	\$15,001 - \$50,000	
	BOSHER FAMILY PARTNERSHIP L.P., REAL ESTATE INVESTMENTS IN NORTH CAROLINA AND FLORIDA SEE ATTACHED SCHEDULE 2	1 *	5,001 - 0,000	INTEREST/DIVID ENDS PARTNERSHIP INCOME	\$1 - \$200	
	1/4 INTEREST IN THE COLUMNS LLC, - REAL ESTATE - ROSE HILL, JAMAICA	4 -	00,001 - 000,000	RENT/INTEREST	\$2,501 - \$5,000	
	RENTAL PROPERTY & RESIDENCE - EAST 92ND ST. NEW YORK, NEW YORK		000,001 - 5,000,000	RENT	\$50,001 - \$100,000	

Report iiabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibiling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
	ALMA BANK	2009	MORTGAGE ON EAST 92ND ST. NEW YORK, NEW YORK	\$250,001 - \$500,000
	CITI MORTGAGE	April 2005	MORTGAGE ON D ST. SE WASHINGTON D.C.	\$500,001 - \$1,000,000
- 1	CARDINAL BANK	November 2006	MORTGAGE ON 210 THE MONROE CONDO, ARLINGTON, VIRGINIA	\$250,001 - \$500,000
	RGB, INC. R G BOSHER IRREVOCABLE LIFE INSURANCE TRUSTS	various dates	REAL ESTATE AND PARTNERSHIP ACQUISITION LOANS	\$500,001 - \$1,000,000
	ESTATE OF RALPH G. BOSHER	April 2005	REAL ESTATE ACQUISITION LOAN	\$500,001 - \$1,000,000
	SEA BAY DEVELOPMENT CORP	October - December 2009	PARTNERSHIP ACQUISITION LOAN	\$250,001 - \$500,000

Report all positions, compensated or uncompensated, held during the current calendar year as an officar, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of eny corporation, firm, pertnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, sociel, freternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization				
PARTNER	BOSHER FAMILY PARTNERSHIP L.P. VIRGNIIA BEACH, VIRGINIA				
MEMBER	GREENSEA FARMS LLC VIRGINIA BEACH, VIRGINIA				
MEMBER	BOSHER FAMILY LLC VIRGINIA BEACH, VIRGINIA				
MEMBER	ALBEMARLE PLANTATION LLC VIRGINIA BEACH, VIRGINIA				
MEMBER	JEFFERSON INVESTORS, LLC VIRGINIA BEACH, VIRGINIA				
MANAGER	SEA BAY DEVELOPMENT CORP VIRGINIA BEACH, VIRGINIA				

F00	T	NO	TES
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Name Carolyn B. Maloney

Page 8 of 8

.Number	Section / Schedule	Footnote	This note refers to the following item
	Schedule VIII	ON JUNE 13, 2008, A CHARITABLE ORGANIZATION WAS FORMED UNDER THE NAME EQUALITY 2020, INC., UNDER SECTION 402 OF THE NOT FOR PROFIT CORPORATION LAW OF THE STATE OF NEW YORK. WHILE REPRESENTATIVE MALONEY IS INDIRECTLY CONNECTED WITH THIS ORGANIZATION, SHE HAS NO POSITION WITH THIS ORGANIZATION AND RECEIVES NO BENEFIT FROM THE OPERATIONS OF THE ENTITY	N/A

Schedule 1

ATTACHMENT TO SCHEDULE III, PAGE 5 OF 8 FINANCIAL DISCLOSURE STATEMENT FOR THE YEAR DECEMBER 31, 2010

BEECHTREE PARK, INC.

Beechtree Park, Inc. as noted on Schedule III, page 5 of the 2010 financial disclosure represents a family owned closely held S-corporation located in Virginia Beach, Virginia. The corporation invests in real estate to be developed into commercial and residential sites. All of the properties are located in Virginia Beach and Chesapeake, Virginia.

Schedule 2

ATTACHMENT TO SCHEDULE III, PAGES 5 OF 8 FINANCIAL DISCLOSURE STATEMENT FOR THE YEAR DECEMBER 31, 2010

The following is a listing of the real estate holdings of the Bosher Family Partnership as of December 31, 2010:

- 1. Parcel #10-11-23-0000-0030-0000 located in Palatka, Florida.
- 2. Two residential lots in Edenton, North Carolina.
- 3. 76.00 acres of land in Chowan County, North Carolina.
- 4. 107.00 acres of land in Elizabeth City, North Carolina.
- 5. 26 acres of land in Elizabeth City, North Carolina.

Schedule 3

ATTACHMENT TO SCHEDULE III, PAGES 3 OF 8 FINANCIAL DISCLOSURE STATEMENT FOR THE YEAR DECEMBER 31, 2010

SEA BAY DEVELOPMENT CORP.

Virginia. The corporation invests in rental real estate both commercial and reslueulaal and land for future development. All of the properties are located in Virginia Beach and Sea Bay Development Corp as noted on Schedule III, page 3 of the 2010 financial disclosure represents a family closely held S-corporation located in Virginia Beach, Virginia. The corporation invests in rental real estate both commercial and residential Norfolk, Virginia.

Schedule 4

ATTACHMENT TO SCHEDULE III, PAGE 4 OF 8 FINANCIAL DISCLOSURE STATEMENT FOR THE YEAR DECEMBER 31, 2010

ALBEMARLE PLANTATION LLC

Albemarle Plantation LLC was formed to hold the family's 25% partnership interest in HPB Enterprises T/A Albemarle Plantation, a real estate development company located in Hertford, North Carolina.

Schedule 5

ATTACHMENT TO SCHEDULE III, PAGE 3 OF 8 FINANCIAL DISCLOSURE STATEMENT FOR THE YEAR DECEMBER 31, 2010

BOSHER FAMILY LLC

Enterprises T/A Albemarle Plantation, a real estate development company located in Hertford, North Carolina. Bosher Family LLC was formed to hold the family's 75% partnership interest in HPB

Schedule 6

ATTACHMENT TO SCHEDULE III, PAGE 4 OF 8 FINANCIAL DISCLOSURE STATEMENT FOR THE YEAR DECEMBER 31, 2010

JEFFERSON INVESTORS, LLC

Jefferson Investors, LLC was formed to hold various rental properties located in Virginia Beach, Virginia. The properties were acquired from Sea Bay Development Corp. The as follows: entit)

ne

ich, Virginia. The properties were acquired from Sea Bay Developm ty invests in land and commercial rentals in Virginia Beach, Virginia	ed from Sea Bay Developm in Virginia Beach, Virginia
	2010
	Tax Assessed Valu
West Neck Acreage	
Parcel A	\$215,400
Parcel B	136,800
Parcel C	354,000
House and lot Baltic Avenue	281,500
Commercial Lot 18 th St.	333,400
Multi Family Buildings 33rd St.	1,373,300
56 St. Duplexes and lot	1,668,000
Norfolk Ave. Houses	486,200
Total	\$4,848,600
Ownership percentage	22.50%
Total Ownership Value	\$1,090,935

UNITED STATES HOUSE OF REPRESEN CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STAT		FORM A Page 1 of 8 For use by Members, officers, and employees	KUREBALIO FAIKEAU	
Charles B. Rangel (Full Name)		(202)225-4365 (Daytime Telephone)	ND DELIVERED (Office Use Only)	
Filer Status Member of the U.S. State: NY House of Representative District: 15		ficer Or Employing Office: nployee	A \$200 penalty shall be assessed against anyone who files	
Report Type Annual (May 15) Amendment	☐ Termination	Termination Date: on	more than 30 days late.	
PRELIMINARY INFORMATION ANSWER EACH	H OF THESE QU	JESTIONS		
i. Did you or your epouse have "earned" income (e.g., ealaries or fees) of \$200 or more from any source in the reporting period? If yes, complete snd attach Schedule I.	Yes ☑ No ☐ V	Did you, your apouse, or a dependent child receive any reports the reporting period (i.e., aggregating more than \$335 and not axempt)? If yes, complete and attach Schedule VI.		
Did any individual or organization make a donation to charity in lieu of II. paying you for a apeech, appearance, or erticle in the reporting period? If yes, complete and attach Schedule II.	Yea ☐ No ☑ V	Did you, your epouse, or a dependent child receive eny reports or reimbureements for travel in the reporting period (worth mo \$335 from one source)? If yes, complete and attach Schedule VII.		
Did you, your apousa, or a dependent child receive "unearned" income of iil. more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes 📝 No 📋 V	Did you hold any reportable positions on or before tha date of current calendar year? If yes, complete snd attach Schedule VIII.	filing in the Yes 🗸 No 📋	
Did you, your apouse, or dependant child purchase, sell, or axchange any IV-reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ✓ No 🗌 D	Did you have any reportable agreement or arrangement with a entity? If yes, complete and attach Schedule IX.	n outside Yes ☐ No 🗹	
V. (more than \$10,000) during the reporting period?	Yes ☐ No 🗸	Each question in this part must be answere schedule attached for each "Yes" response.		
If yes, complete and attach Schedule V.	ICT INCODES			
	ved by tha Committee	on Ethics and certain other "axcepted trusts" need not be benefiting you, your spouse, or dependent child?		
		me, transactions, or liabilities of a spouse or dependent ch unless you have first consulted with tha Committee on Et		

SCHEDULE I - EARNED INCOME

Name Charles B. Rangel

Page 2 of 8

List the source, type, snd amount of sarnsd incoms from any source (other than the filer's current smployment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse sarned income exceeding \$1,000.

Source	Туре	Amount
Congressional Federal Credit Union	IRA Distribution	\$1,471

BLOCK A	ВLОСК В	BLOCK C	· BLOCK D	BLOCK E
Asset and/or income Source identify (e) eech asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year. Provide complete names of stocks and mutuel funds (do not use ticker symbols.) For all IRAs end other retirement plans (euch as 401(k) piens) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement eccounts which ere nof self-directed, provide only the neme of the institution holding the eccount end its value at the end of the reporting period. For rentel or other real property held for investment, provide e complete soddress. For en ownership interest in e privately-held business that is not publically traded, state the name of the business, the nature of its ectivities, and its geographic location in Block A. Exclude: Your personal residence, including second homes end vacation homes (unless there was rental income during the reporting period); eny deposits totaling \$5,000 or less in e personal checking or	Year-End Value of Asset et ciose of reporting year. If you use e valuation method other than fair merket value, please specify the method used. If en asset was sold end is included only because it is generated income, the value should be "None."	Type of Income Check sil columns that epply. For retirement sccounts that do not silow you to choose specific investments or that generate tax-deferred income (such as 401(k) piens or IRAs), you mey check the "None" column. Dividends, intarest, end capital geins, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.	Amount of Income For retirement eccounts that do not sllow you to choose epecific investments or that generate tax-defarred income (such es 401(k) piens or IRAs), you may check the "None" column. For ell other assets, indicate the category of income by checking the sppropriete box below. Dividends, interest, end capital geins, even if reinvested, muet be disclosed as income. Check "None" if no income was earned or generated.	Transaction Indicate if asset had purchases (P), salee (S), or exchanges (E) exceeding \$1,000 in reporting year.
74 West 132nd Street NY, NY 10037	None	RENT	\$201 - \$1,000	
Alliance Municipal Inc. Fd. New York Port	\$50,001 - \$100,000	DIVIDENDS	\$2,501 - \$5,000	
Blackrock Muni Enhanced	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	Р
Capital One Checking (former North Fork Bank)	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
Congressional Federal Credit Union	\$100,001 - \$250,000	INTEREST/DIVID ENDS	\$2,501 - \$5,000	
Empty Lots, Glassboro, New Jersey (tax assessment \$3,000)	\$1,001 - \$15,000	NONE	NONE	

SCHEDULE III - ASSETS AND	"UNEARNED"	INCOME
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JLE III - ASSETS AND "UNEARNED" IN	Name Charles B. Rangel			Page	
ING Index Plus Large Cap Class B (former Princ. Prot.)	\$15,001 - \$50,000		DIVIDENDS	\$201 - \$1,000	s
Ishares Barclays 1-3 Yr. Treasurey Index Fund			None	NONE	Р
Ishares Barclays Tips BO Protected Secs FD	\$50,001 - \$100,000		DIVIDENDS/CAPI TAL GAINS	\$5,001 - \$15,000	S(part
Merrill Lynch Cash & Money Accts	\$15,001 - \$50,000		INTEREST	\$5,001 - \$15,000	
Nuveen Muni Value	\$1,001 - \$15,000		DIVIDENDS	\$1 - \$200	Р
Nuveen NY Investment Qual. Muni	\$1,001 - \$15,000		DIVIDENDS	\$1 - \$200	Р
Nuveen NY Prefered PLS Muni	\$1,001 - \$15,000		DIVIDENDS	\$1 - \$200	Р
Nuveen Select Qualified Muni	\$1,001 - \$15,000		DIVIDENDS	\$1 - \$200	Р
Nuveen Select Tax Free CL P	\$1,001 - \$15,000		DIVIDENDS	\$1 - \$200	Р
PepsiCo, Inc.	\$1,001 - \$15,000		DIVIDENDS	\$201 - \$1,000	
Pimco GNMA Fd. CL P (formerly A)	\$100,001 - \$250,000		DIVIDENDS/DIST RIBUTIONS/CAPI TAL GAINS	\$15,001 - \$50,000	S(part
Pimco Total Return Fd. CI P (formerly A)	\$250,001 - \$500,000		DIVIDENDS/DIST RIBUTIONS	\$15,001 - \$50,000	
Punta Cana Beach Villa, Punta Cana, Dominican Republic (March 1987 - \$82,750 + Improvements)	None		RENT/CAPITAL GAINS	\$100,001 - \$1,000,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Charles B. Rangel Page 5 of 8

Punta Cana Sale Proceeds	\$100,001 - \$250,000	None	NONE
Rochester Municipal Fund Class C	\$15,001 - \$50,000	DIVIDENDS	\$1,001 - \$2,500
Yum! Brands	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting yesr of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your epouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Blackrock Muni Enhanced	Р	N/A	11-5-10	\$15,001 - \$50,000
!	ING Index Plus Large Cap Class B	s	No	11-4-10	\$15,001 - \$50,000
	Ishares Barclays 1-3 Yr. Treasurey Index Fund	Р	N/A	11-5-10	\$15,001 - \$50,000
	Ishares Barclays Tips BO Protected Secs FD	S(part)	Yes	11-5-10	\$15,001 - \$50,000
	Nuveen Muni Value	P	N/A	11-5-10	\$15,001 - \$50,000
	Nuveen NY Investment Qual. Muni	P	N/A	11-5-10	\$1,001 - \$15,000
	Nuveen NY Prefered PLS Muni	P	N/A	11-5-10	\$15,001 - \$50,000
	Nuveen Select Qualified Muni	P	N/A	11-5-10	\$15,001 - \$50,000
	Nuveen Select Tax Free CL P	P	N/A	11-5-10	\$1,001 - \$15,000
	Pimco GNMA Fd. CI P	S(part)	Yes	11-4-10	\$15,001 - \$50,000
<u>.</u>	Punta Cana Beach Villa, Punta Cana, Dominican Republic	S	Yes	12-31-10	\$250,001 - \$500,000

SCHEDULE VIII - POSITIONS

Name Charles B. Rangel

Page 7 of 8

Report all positions, compensated or uncompensated, held during the current calendar yesr ss sn officer, director, trustee of sn organization, partner, proprietor, representative, employee, or consultant of sny corporation, firm, psrtnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member of the Board	The Kheel Foundation
Ex Officio Member of the Board	New York City Empowerment Zone

FOOTNOTES

Name Charles B. Rangel

Page 8 of 8

Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III, IV	Punta Cana Beach Villa was sold on 12-29-10. \$100,001 - \$250,000 proceeds in transit.	Punta Cana Beach Villa
2	Schedule III	Collection of past due rent.	74 West 132nd Street NY, NY 10037

UNITED STATES HOUSE OF REPRESENT CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATE	- -	FORM A Page 1 of 3 For use by Members, officers, and employees	DELIVERED	
Jose E. Serrano (Full Name)		202-225-4361 (Deytime Telephone)	BISLATIVE RESTURGE SEAFER 1010 HAY 13 PH 3: 22	
Filer Status Member of the U.S. State: NY House of Representatives District: 16		fficer Or Employing Office: mployee	A \$200 penalty shall be assessed against anyone who files	
Report Type Annual (May 15) Amendment	Y I G Manus (Mass 45) C Amanadas ant C Taurain ation			
PRELIMINARY INFORMATION ANSWER EACH	OF THESE QU	JESTIONS		
If yes, complete and attach Schedule I. Did any individual or organization make a donation to charity in lieu of paying		Did you, your spouse, or a dependent child receive any reporta the reporting period (i.e., aggregating more than \$335 and not of exempt)? If yes, complete and attach Schedule VI. Did you, your apouse, or a dependent child receive any reporta reimbursements for travel in the reporting period (worth more than one source)? If yes, complete end ettach Schedule VII.	otherwise Yes No 🗸	
Did you, your apouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and ettach Schedule III.	Yes ✓ No 🗌 V	Did you hold any reportable positions on or before the date of f III. current calendar year? If yes, complete and attach Schedule VIII.	iling in the Yes 🗌 No 🗹	
IV. Did you, your apouse, or dependent child purchase, aeli, or exchange any reportable aeset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and ettach Schedule IV.	Yes No 🗸 D	Did you have any reportable agreement or arrangement with an entity? If yes, complete and attach Schedule IX.	outside Yes 🗌 No 🗸	
V. Under the property of the p	Yes No 🗸	Each question in this part must be answered schedule attached for each "Yes" response.		
EXCLUSION OF SPOUSE, DEPENDENT, OR TRU	IST INFORMAT			
Trusts- Details regarding "Quelified Bilind Trusts" epprov	ved by the Committee	on Ethics end certain other "excepted trusts" need not be benefiting you, your spouse, or dependent child?	· · · · · ·	
		me, transactions, or liebillties of e spouse or dependent c ' unless you heve first consulted with the Committee on E		

SCHEDULE I - EARNED INCOME

Name Jose E. Serrano

Page 2 of 3

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a epouse, list the source and amount of any honoraria; list only the source for other epouse earned income exceeding \$1,000.

Source	Туре	Amount
NYS Employee Retirement System	Pension	\$14,000

SCHEDULE III - ASSETS	AND "	"UNEARNED"	INCOME
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Name Jose E. Serrano

Page 3 of 3

BLOCK A	BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or income Source Identify (a) each asset held for investment or production of Incoma with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) eny other reportable esset or sources of incoma which genarated more than \$200 in "unearned" incoma during the year. Provide complete names of stocke and mutual funds (do not use ticker symbols.) For all IRAs and other retirement plans (such as 401(k) plans) that ere self-directed (i.e., plans in which you have the power, even if not axarcised, to eelect the epecific investments), provide the value for each asset held in the account that exceeds the reporting thresholde. For retirement accounts which are not salf-directed, provide only the name of the institution holding the account and ite velue at the end of the reporting period. For rental or other real property held for investment, provide a complete address. For en ownership interest in a privately-held business that is not publically treded, state the name of the business, the nature of its activities, end its geographic location in Block A. Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting	Year-End Value of Asset at close of reporting year. If you uee a valuation method other than fair market valua, pleasa specify the mathod used. If an asset was sold and is included only because it le ganarated income, the value should be "None."	Type of income Check all columns that apply. For retirement accounts that do not allow you to choose specific Investments or that genarate tax-deferred Incoma (euch as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if tha asset ganarated no income during the reporting period.	Amount of income For retiremant accounts that do not allow you to choose specific investmants or that generate tax-deferred incoma (euch as 401(k) plens or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capitel gains, even if reinvested, muet be disclosed as income. Check "Nona" if no incoma wae earned or ganerated.	Transaction Indicate If asset had purchases (P), sales (S), or exchanges (E) axceeding \$1,000 in reporting year.
Wright Patman Cogressional Federal Credit Union	\$15,001 - \$50.000	INTEREST	\$1 - \$200	other

	STATES HOUSE OF REPR		FORM A Page 0 of 4 For use by Members, officers, and employees	2011 MAY 16 PM 5: 05
	Eliot L. Engel (Full Neme)		2022252464 (Deytime Telephone)	MC LIST HOUSE OF REPRESENTATIVES
Filer Status	House of Penresentatives		fficer Or Employing Office: mployee	A \$200 penalty shall be assessed against anyone who files
Report Type	Annual (May 15)	Iment	Termination Date: on	more than 30 days late.
PRELIMIN	IARY INFORMATION - ANSWER	REACH OF THESE Q	UESTIONS	
l. or more fro	your apouse have "earned" income (a.g., saleries or fed om any source in the reporting period? mplete and attach Schedule I.	Yes 🕢 No 🗌	Did you, your apouse, or a dependent child receive any reporta VI. the reporting period (i.e., aggregating more than \$335 and not c exempt)? If yes, complete and ettach Schedule VI.	
II. you for e ap	lividuel or organization make a donation to charity in lie peach, appearance, or article in the reporting period? mplete end ettach Schedule II.		Did you, your spouse, or a dependent child receive any reportal relmbursements for travel in the reporting period (worth mora t from one source)? If yes, complete and ettach Schedule VII.	ble travel or than \$335 Yes ☑ No ☐
Did you, yo iii. more then then then then then then then the	our apouse, or a dependent child receive "unearned" inc \$200 in the reporting period or hold any reportable asso \$1,000 at the end of the period? nplete and ettach Schedule III.		Did you hold any reportable positions on or before the date of f //III. current calender year? If yes, complete and ettach Schedule VIII.	iling in the Yee No 🔽
IV. reportable a period?	ur spouse, or dapendent child purchase, sell, or excha asset in a transaction exceeding \$1,000 during tha repo npleta end ettach Schedule IV.		Did you have any reportable agreement or arrangement with an X. entity? If yes, complete and ettach Schedule IX.	outside Yes ☐ No 🕢
V. (more than	ur apouse, or a dapendent child have any reportable lis \$10,000) during the reporting period? nplete end attach Schedule V.	bility Yes ☑ No ☐	Each question in this part must be answered schedule attached for each "Yes" response.	
		OR TRUST INFORMAT	TION ANSWER EACH OF THESE QUE	
Trusts-	Details regerding "Qualified Blind Trus	ste" epproved by the Committee	s on Ethics and certain other "excepted trusts" used not be benefiting you, your spouse, or dependent child?	
Exempti		y other essets, "uneerned" inco xemption? Do not enswer "yes	ome, trensactions, or liebilities of a spouse or dependent c " unless you have first consulted with the Committee on E	hild thice. Yes ☐ No 🗸

SCHEDULE I - EARNED INCOME

Name Eliot L. Engel

Page 2 of 4

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Туре	Amount
United States Department of Agriculture	Spouse Salary	N/A

BLOCK A	BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or Income Source Identify (a) each ssset held for Investment or production of Incoma with a fair market valua exceeding \$1,000 at the end of the reporting period, and (b) any other reportabla asset or sources of Income which ganerated more than \$200 in "unaarned" Incoma during tha year. Provide complete names of stocks and mutual funds (do not usa ticker symbols.) For all IRAs end other ratirement plans (such es 401(k) plans) that are self-directed (i.a., plans in which you have tha power, even if not exercised, to select the specific invsetments), provida tha valua for each saset held in the account that exceeds the raporting thresholds. For retirement accounts which are not salf-directed, provide only the name of the Institution holding the eccount and its value at the and of the reporting period. For rental or other rasi property held for investment, provide a complete address. For en ownership interest in a privately-hald business that is not publically traded, state the name of the business that is not publically traded, state the name of the business, the nature of its activities, end its geographic location in Block A. Excluds: Your personal residence, including second homes and vacation homes (unless there was rantal income during the reporting period); and deposite totaling \$5.000 or less to a correct checking or	Year-End Value of Asset et closs of reporting year. If you use a valuetion method other than felr markat value, plaase specify the mathod used. If an saset was sold and is included only because it is ganarated income, the value should be "None."	Type of income Chack sil columna thet apply. For retirement accounts that do not allow you to choose specific inveetments or that generate tax-deferred income (such ss 401(k) plans or IRAs), you may check tha "Nona" column. Dividends, interest, and capital gains, evan if reinvested, must ba disclosed as income. Chsck "None" if the esset ganareted no income during tha raporting period.	Amount of Income For ratirament secounte that do not allow you to choose spacific investmants or that generate tax-deferred income (euch as 401(k) plens or IRAs), you may check the "Nona" column. For all other sssets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, aven if reinvested, must be disclosed ae income. Check "None" if no income was earned or generated.	Transaction Indicete If asset had purchasea (P), aales (S), or exchangee (E) exceeding \$1,000 in reporting yesr.
Congressional Federal Credit Union	\$15,001 - \$50,000	INTEREST	\$1 - \$200	
ENJ Realty, LLC Bronx, NY (24% ownership)	\$250,001 - \$500,000	None	NONE	
Israeli Bonds	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
State of New York	\$1,001 - \$15,000	Other: (Retirement Pension)	NONE	
US Bonds	\$1,001 - \$15,000	INTEREST	\$1 - \$200	

SCHEDULE V - LIABILITIES

Name Eliot L. Engel

Report ilabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your epouse, or dependent chiid. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; and lisbilities owed to a spouse, or the chiid, parent, or sibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
	Congressional Federal Credit Union	2010	Visa Credit Card	\$15,001 - \$50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Eliot L. Engel

Page 4 of 4

Identify the source and liet travel itinerary, dates, and nature of expensee provided for travel and travel-releted expenses totaling more than \$335 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponeor'e expense, and the amount of time, if any, that was not at the sponsor'e expense. Disclosure is required regardless of whether the expensee were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be seperately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political trevel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure DestinationPoint of Return		Food? (Y/N)	Was a Family Member Included? (Y/N)	Days not at sponsor's expense
Alpha Epsilor Pi Fratemity	Aug. 4-5	DC-New Orleans-DC	Y	Υ	Υ	None

LEGISLATIVE RESOURCE CENTER FORM A Page 1 of 8 UNITED STATES HOUSE OF REPRESENTATIVES 2011 MAY 13 AM 11:28 For use by Members, officers, and employees **CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT** HAND DELIVERED NITA M. LOWEY 202-225-6506 (Daytime Telephone) (Full Name) (Office Use Only) Member of the U.S. State: NY Officer Or **Employing Office:** A \$200 penalty shall Filer **Employee** House of Representatives be assessed against District: 18 Status anvone who files Termination Date: more than 30 days Report Annual (May 15) ☐ Termination Amendment late. Type PRELIMINARY INFORMATION - ANSWER EACH OF THESE QUESTIONS Did you, your apouse, or a desendent child receive any reportable gift in Did you or your apouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? the reporting period (i.e., aggregating more than \$335 and not otherwise Yes [7] No [Yes | No 17 if was, complete and attach Schedule L. if yes, complete and attach Schedule Vi. Did you, your spouse, or a dependent child receive any reportable travel or Did any individual or organization make a denation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? reimbursements for travel in the reporting period (worth more than \$335 Yes | No 57 Yes | No |7 from one source)? if yes, complete and attach Schedule VII. If yes, complete and attach Schedule II. Did you, your spouse, or a dependent child receive "unearned" income of Did you hold any reportable positions on or before the date of filling in the VIII. current calendar year? more than \$200 in the reporting period or hold any reportable asset worth Yes 🔽 No 🗆 Yes | No | more than \$1,000 at the and of the period? if was, complete and attach Schedule III. If yes, complete and attach Schedule VIII. Did you have any reportable agreement or arrangement with an outside Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting Yes [7] No [7] Yes | No |7 period? If yes, complete and attach Schedule IX. If yes, complete and attach Schedule IV. Did you, your spouse, or a dependent child have any reportable liability (more than \$19,000) during the reporting period? Yes | No | Each question in this part must be answered and the appropriate schedule attached for each "Yes" response. If yes, complete and attach Schedule V. EXCLUSION OF SPOUSE. DEPENDENT. OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be Trusts-Yes 🔲 No V disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Exemptions— Have you excluded from this report any other assets, "uncorned" income, transactions, or Habilities of a spouse or dependent child

because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.

No 🗸

SCHEDULE I - EARNED INCOME

Name NITA M. LOWEY

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List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Туре	Amount
Lowey Dannenberg Cohen & Hart, P.C.	Spouse Earned Income	N/A
NY State & Local Employees Retirement System	Filer's pension (for employment prior to current House of Representatives membership)	\$10,172.76

Name NITA M. LOWEY

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	BLOCKA	BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or Income Source Identify (a) each asset held for Investment or production of income with a fair market value exceeding \$1,000 at the and of the reporting period. and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" Income during the year. Provide complete names of stocks and mutual funds (do not use ticker symbols.) For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e.,plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the Institution holding the account and its value at the and of the reporting period. For rental or other real property held for investment, provide a complete address. For an ownership interest in a privately-held business that is not publically traded, state the name of the business, the nature of its activities, and its geographic location in Block A. Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period).		Year-End Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	Type of Income Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.	Amount of Income For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.	Transaction Indicate if asset had purchases (P), sales (8), or exchanges (E) exceeding \$1,000 in reporting year.
SP	3М Со	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	
SP	Arbiter Partners (not self directed) - Hedge Fund	\$1,000,001 - \$5,000,000	DIVIDENDS/ CAPITAL GAINS	\$100,001 - \$1,000,000	
SP	Avatar Holdings	\$1,001 - \$15,000	NONE	NONE	
SP	Brownstone Catalyst Fund - IRA	\$1,000,001 - \$5,000,000	CAPITAL GAINS/INTERES T/DIVIDENDS	\$50,001 - \$100,000	
SP	Cadigan Partners (see footnote)	\$250,001 - \$500,000	None	NONE	
JT	Chase Bank (checking)	\$1,001 - \$15,000	Interest	\$201 - \$1,000	

	ULE III - ASSETS AND "UNEARNED" IN	Name NITA	M. LOWEY		Page 4 of 8
SP	Cisco Systems	\$15,001 - \$50,000	NONE	NONE	Р
JT	Citibank Checking and Savings	\$1,000,001 - \$5,000,000	INTEREST	\$201 - \$1,000	
SP	Diker Micro-Value Fund	\$250,001 - \$500,000	CAPITAL GAINS/DIVIDEN DS/INTEREST	\$2,501 - \$5,000	
SP	Federated/ Kaufmann Mutual Fund - IRA	\$1,000,001 - \$5,000,000	DIVIDENDS/CAP ITAL GAINS	\$100,001 - \$1,000,000	
JT	Fidelity Money Market Fund	\$1,000,001 - \$5,000,000	INTEREST/DIVID ENDS	\$5,001 - \$15,000	
JT	Glickenhaus & Co.	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
JT	Glickenhaus & Co Triad Fund	\$1,000,001 - \$5,000,000	INTEREST/DIVID ENDS/CAPITAL GAINS	\$50,001 - \$100,000	
SP	Helmerich & Payne	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	
SP	Ingails & Snyder Value Fund	\$1,000,001 - \$5,000,000	Interest/Capital gains	\$100,001 - \$1,000,000	
SP	Johnson & Johnson	\$15,001 - \$50,000	DIVIDENDS/CAP ITAL GAINS	\$201 - \$1,000	
SP	Lowey Dannenberg Bemporad & Selinger Profit Sharing Plan	\$1,000,001 - \$5,000,000	NONE	NONE	
SP	Lowey Dannenberg Cohen & Hart, PC - Ownership Interest in law firm	\$1,000,001 - \$5,000,000	See Schedule I	N/A	
SP	Lowey Family Investment LLC (see footnote)	\$1,000,001 - \$5,000,000	Capital Gains	\$100,001 - \$1,000,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME			Name NITA M. LOWEY			Page 5 o		
SP	M.D. Sass/Macquarie Financial Strategies - Private Equity Fund	, ,	00,001 - 000,000	CAPITAL GAINS	\$15,001 - \$50,000			
SP	Market Vectors ETF TR Gold Miners ETF Fd		0,001 - 00,000	DIVIDENDS/CAP ITAL GAINS	\$201 - \$1,000			
SP	Microsoft Corp.		5,001 - 0,000	DIVIDENDS/CAP ITAL GAINS	\$201 - \$1,000	Р		
SP	MMI Investments/ Millcap Advisors (not self directed) - Hedge Fund	\$1,000,001 - \$5,000,000				INTEREST/DIVID ENDS/CAPITAL GAINS	\$5,001 - \$15,000	
SP	New Silk Route Fund - Private Equity Fund	1 7	50,001 <i>-</i> 00,000	CAPITAL GAINS	\$1,001 - \$2,500			
SP	Newmont Mining	1 7	0,001 - 00,000	DIVIDENDS	\$201 - \$1,000			
SP	NY Muni Cash Fund* - see footnote	No	ne	INTEREST	\$1 - \$200	s		
	NYS Def. Compensation Plan/401K - Not self-directed		0,001 - 00,000	DIVIDENDS/INTE REST	\$15,001 - \$50,000			
	Oppenheimer & Close IRA (see attachment)	•	00,001 - 50,000	N/A	N/A			
	Oppenheimer & Close Limited Partnership (not self directed) - Hedge Fund (see footnote)	, ,	00,001 - 000,000	CAPITAL GAINS/INTERES T/DIVIDENDS	\$50,001 - \$100,000			
	Oppenheimer & Spence Investment Pp. (not self directed) - Hedge Fund (see footnote)		00,001 - 000,000	Dividends/Capital Gains/INTEREST	\$50,001 - \$100,000			
	P. Oppenheimer Investment Pp. (not self directed) - Hedge Fund (see footnote)		,000,001 - ,000,000	Dividends/Capital Gains/INTEREST	\$50,001 - \$100,000			

, vi 166				I - ASSETS AND "UNEARNED" INCOME Name NITA M. LOWEY				
SP	Pequot Partners Fund (not self directed) - Hedge Fund (see footnote)	_	0,001 - 00,000	NONE	NONE			
SP	Pfizer	1	,001 - 5,000	DIVIDENDS/CAP ITAL GAINS	\$201 - \$1,000			
SP	Santa Monica Ptnrs (not self directed) - Hedge Fund		00,001 - 000,000	INTEREST/DIVID ENDS/CAPITAL GAINS	\$5,001 - \$15,000			
SP	Schelcher-Prince	•	50,001 - 00,000	INTEREST	\$2,501 - \$5,000			
SP	Seacor Holdings	-	5,001 - 0,000	CAPITAL GAINS	\$15,001 - \$50,000	S(part)		
SP	Superior Industries	1	001 - 5,000	CAPITAL GAINS/DIVIDEN DS	\$201 - \$1,000			
SP	United States Treasury Bills (see footnote)	No	ne	INTEREST	\$723.33			

SCHEDULE IV - TRANSACTIONS

Name NITA M. LOWEY

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
Cisco Systems	Р	N/A	12-14-10	\$15,001 - \$50,000
Microsoft Corp.	P	N/A	5-21-10	\$15,001 - \$50,000
NY Muni Cash Fund (see footnote)	S	No	1/1/10	N/A
Seacor Holdings	S(part)	Yes	10/8/10	\$15,001 - \$50,000
	Cisco Systems Microsoft Corp. NY Muni Cash Fund (see footnote)	Asset Transaction Cisco Systems P Microsoft Corp. P NY Muni Cash Fund (see footnote) S	Asset Type of Transaction Cisco Systems P N/A Microsoft Corp. P N/A NY Muni Cash Fund (see footnote) S Gain in Excess of \$200? N/A N/A N/A	Asset Type of Transaction Cisco Systems P N/A 12-14-10 Microsoft Corp. P N/A 5-21-10 NY Muni Cash Fund (see footnote) S Gain in Excess of \$200? Date Date 1/1/10

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Name NITA M. LOWEY

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Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III	The Treasury Bill was not sold, it matured, and therefore is gone from the account. It was purchased for \$199,276.67, matured at \$200,000, so the LT gain was \$723.33. There ware no other Treasury Bills in the account.	United States Treasury Bills (see footnote)
2	Schedule III	NY Muni Cash Fund - Removing from report because should not be listed separately - included in other positions held in Oppenheimer & Close account.	NY Muni Cash Fund* - see footnote
3	Schedule III	SP owns an interest in Lowey Family Investment LLC, which is invested in Brownstone Investment Group LLC, a privately owned broker-dealer firm.	Lowey Family Investment LLC - see footnote
4	Schedule III	Oppenheimer & Close Limited Partnership (not self directed) - Hedge Fund was owned by SP, ownership was transferred to Member in 2010	Oppenheimer & Close Limited Partnership
5	Schedule III	Oppenheimer & Spence Investment Partnership (not self directed) - Hedge Fund was owned by SP, ownership was transferred to Member in 2010	Oppenheimer & Spence Investment Partnership
6	Schedule III	Partial Sale in 2009 - 5% of original investment remaining	Pequot Partners Fund
7	Schedule III	Cadigan Partners is a private equity firm located in New York, New York, formed by Pericles Navab and David Luttway. When it was formed, SP loaned the firm \$500,000. Repayment of that amount is expected by year end 2011.	Cadigan Partners



OPPENHEIMER + CLOSE, INC. 119 WESI 57 STREET NEW YORK, N. Y. 10019 (212) 489-7527 (800) 223-2281 FAX: (212) 489-1626

Individual Retirement Account Statement

Account Number:

Statement Period: 12/01/2010 - 12/31/2010

Valuation at a Glance	This Period	Year-to-Date
Beginning Account Value	\$171,020.54	\$163,744.48
Net Securities In/Out of Account	0.00	7,276.00
Adjusted Previous Account Value	171,020.54	171,020.48
Dividends, Interest and Other Income	0.01	0.07
Ending Account Value	\$171,020.55	\$171,020.55
Estimated Annual Income	\$0.07	

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CARL K. OPPENHEIMER

Asset Allocation	Last Period	This Period % A	Босабон	
Cash, Miney Funds, and FDIC Deposits ^a	40.54	40.55	1%	Asset Allocation percentages are rounded to the nearest whole percentage.
Alternative Investments	170,980.00	170,900.00	99%	
Account Total	\$171,020.54	\$171,020.55	100%	
a took do COIO to seed book doors to COIO beyond book doors to an art as	and the same and hald by Boarbins I I C	and he are to a section of the		

1 includes FDIC insured bank deposits. FDIC insured bank deposits are not securities, are not held by Pershing LLC, and are not covered by the Securities investor Protection Corporation. These bank deposits are covered by the Federal Deposit insurance Corporation, up to allowable limits.

See page 2 of this statement for important information regarding the Asset Allocation section.

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Asset Allocation Disclosure and Footnotes

NOTE: Unpriced securities in your account may cause the total brokerage account assets to be understated.

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Required Minimum Distribution Summary

	Prior Year-end Fair Market Value ("FMV");	\$163,744.48
l	Calculation Factor:	24.7
ı	Participant DOB: 07/1937 Beneficiary DOB: 09/0000	
١	Beneficiary Relationship: NON-PERSON	
l	Amount Required to be Withdrawn for 2010:	\$6,629.33
l	Amount Withdrawn Year to Date:	\$0.00
١	The Remaining Amount You Are Required to Withdraw for 2010:	\$6,629.33

Disclainers and Other Important Information Regarding Your Required Minimum Distribution Summary

According to our records, you are required under federal tax law to take an annual minimum distribution from your retirement account. These required minimum distributions (RMDs) usually begin in the year you reach the age of 70 1/2. Failure to take the RMD when required may result in a 50% excise tax imposed on the amount you did not take.

You are allowed to take your RMD in cash or securities. For a distribution to be made, sufficient cash or securities must be available in your settrement account when we receive your distribution request and for subsequent distributions. If you changed your beneficiary after January 1 of this year and your new or prior beneficiary is your spouse who is more than ten years younger than you, you may need to recalculate the RMD amount stated above.

If you have more that one traditional individual retinement account (IRA), including SEP and SIMPLE IRAs, the RMD for these accounts can be aggregated and removed from a single traditional IRA. This exception does not apply to multiple qualified retinement plans (QRPs) such as profit sharing, money purchase pension, 401(k), and defined benefit plans. RMDs for QRPs must be removed from each QRP account.

NOTE: Any outstanding reflevers or recharacterizations that were not in your account on December 31 of the prior year should be added to your year-end fair market value for the previous year to calculate your RMD for the current year. Also, when taking your RMD, please consider any scheduled distribution amounts you have established which may allow you to automatically meet all or part of your RMD. Please contactus if you are interested in establishing instructions.

Using the information on our files, your RMD was determined by dividing your fair market value by a calculation factor determined by the Internal Revenue Service (IRS). The factor is based on your age at the end of the year and the age and relationship of your beneficiary(ies). We Strongly suggest that you verify this calculation with your tax professional, as there may be other pertinent information that could impact your RMD amount. To withdraw your RMD, contact your investment professional for the appropriate withdrawal form.

Customer Service Information

Identification Number: 277	Contact Information	
CARE KLOPPENHEIMER	E-Mail Address: office@oppvest.com	
Prior Year-End Fair Market Value: \$163,744.48 will be familished to the Internal Revenue Service.	Date of Birth:	Note: Please verify the accuracy of your personal information. If incorrect, notify your financial organization. (If applicable).

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Ask about e-Jehion:

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OPPENHEIMER + CLOSE, INC. 119 WES1 57 STREE1 NEW YORK, N. Y. 10019 (212) 489-7527 (900) 223-2281 FAX: (212) 489-1626

Individual Retirement Account Statement

Statement Period: 12/01/2010 - 12/31/2010

	Current Period	Year -to - Date
Income and Expense Summary	Tax Deferred	Tax Deferred
. Interest income		
FDIC Insured Bank Deposits	0.01	0.07
Total Dividends, Interest, Income and Expenses	\$0.01	\$0.07

Transactions by Type of Activity

ak/
PERSON.

_								
Dade	Date	Activity Type	Description	Quantity	Price	Accord Interest	Assert	CET
Divident	s and Inter	est						
12/16/19	12/15/10	FDIC INSURED BANK	DREYFUS INSURED INTEREST CREDITED				0.01	USD
		DEPOSITS INTEREST						
		RECEIVED						
Total Dir	idends and	Interest - UNITED STATES D	OLLAR			0.00	0.01	
FDIC Ins	red Bank	Deposits .						
12/16/10	12/15/10	FDIC INSURED BANK	DREYFUS INSURED INTEREST REINVESTED				-0.01	USD
		DEPOSITS INTEREST						
		REINVESTED						
Total FBI	C Insured	Bank Deposits - UNITED STA	TES DOLLAR			0.00	-0.01	
Total V	alue of A	II Transactions				0.00	0.00	
Th								

The price and quantity displayed may have been rounded.

Portíolio Holdings

	C pening	Claring	learned	income	30- 41 7
Quantity Departation	Bullacate	Balance	Income	This Year	Yield
Cash, Money Funds, and FDIC Deposits 1.00% of Portfolio		-			
FDIC Insured Bank Deposits					
40,550 DREYFUS INS DEPOSIT PROGRAM I	40.54	40.55	0.00	0.07	N/A
Total FBIC Insured Bank Deposits	\$40.54	\$40.55	\$0.00	\$0.07	
Total fash, Money Funds, and FDIC Deposits	\$40.54	\$40.55	\$9.00	\$0.07	

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Portiolio Holdings (continued)

		Harket	Extensed	
Quantity	Description	Price	Yakış	
Alternative Im	restments \$9.00% of Portfolio			
170,981,000	OPPENHEIMER CLOSE INVESTMENT PARTNERSHIP LIMITED PARTNERSHIP Valuation Date: 12/28/10 Valuation Code: 8, V, C Security Identifier 683993992	N/A	170,980.00	
Total Alternati	ve Investments		\$170,980.00	

Valuation Codes:

- B = This is an estimate of the value of the security.
- C = The source of this information is the management of the program.
- V = Value indicated reflects derived unit value to a commodate estimated unit value greater than \$9,999.99, or unique estimated value. Please contact your investment professional or financial organization for additional information.

	(Anria)	Acres	Estimated
Description	Take	interest	Annual furence
Total Portfolio Holdings	\$171,020.56	\$0.00	\$0.07

The estimated values, where indicated of Alternative Investments, including limited partnerships, real estate investment trusts (REITs), direct participation programs (DPPs), hedge funds, fund of funds, private equity, real estate and managed future have been provided by the management of the Alternative Investment, generally through an intermediary. The values are not guaranteed, provided for informational purposes only and are intended to reflect an estimate of the interest in the Alternative Investment represented by the units or shares described above. Alternative Investment securities are generally illiquid, and the value may not be realized when you seek to liquidate the security. Please note the estimated values for Alternative Investments, which are provided by the management of the Alternative Investment.

Where to value is indicated, please note that:

- Alternative Investment securities are generally illiquid
- The value of the security may be different from its purchase price
- Accurate valuation information is not available

Disclosures and Other Information

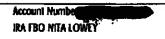
Pricing -Securities prices may vary from actual liquidation value. Prices shown should only be used as a general guide to portfolio value. Prices are received from various pricing services. However, pricing services are not readily available, particularly on certain debt securities, estimated prices may be generated by a matrix system taking various factors into consideration. The pricing of listed options takes into account the last closing price, as well as the current bid and offer prices. Where securities have not been priced, such securities have not been included in the Asset Allocation information at the beginning of this statement.

The Estinated Price as of Date only appears when the price date does not equal the statement date.

Reinvestment - The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your Statement may have been reinvested. You will not receive confirmation of these reinvestments. However, information pertaining to these transactions which would otherwise appear on confirmations, including the time of execution and the name of the person from whom your security was purchased, will be furnished to you upon written request to your introducing firm. In dividend reinvestment transactions. Pershing acts as your agent and receives payment for order flow, the source and nature of which payment will be furnished to you upon written request to your introducing firm.

Option Disclosure - Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A

Page 4 of 7







Individual Retirement Account Statement

Statement Period: 12/01/2010 - 12/31/2010

Portíolio Holdings (continued)

summary of this information is available to you promptly upon your written request directed to your introducing from. In order to assist your introducing from in maintaining current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

Foreign Currency Transactions - Pershing may execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and simitar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in affect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

Proxy Vite - Securities held by you on margin (securities not fully paid for by you) may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares leid on margin will be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

FDIC Insured Bank Deposits

Date	Activity Type	Description		Balance
Sweep FC	DIC Insured Bank Deposits			
1	NS DEPOSIT PROGRAM I Inber: 5G1021823 Activity Ending: 12/31/10 Opening Balance Deposit	INTEREST CREDITED Capital One Bank(USA) a/o 12/15 \$40.55	40.54 0.01	40.54 40.55 40.55 40.55
12/15/11		YIELD 0.30%	<u> </u>	40.55
12/31/10	Closing Balance	·		\$40.55
Total FDI	C Insured Bank Deposits			\$40.55

The FDC Insured Bank Deposits are not securities and are not covered by the Securities Investor Protection Composition (SIPC). The Bank Deposits at each bank are insured by the Federal Deposit Insurance Corporation (FOIC) up to \$250,000 for each category of legal ownership including individual retirement accounts and certain other self directed retirement accounts and up to \$500,000 for joint accounts. Please review his in connection with other deposits you may have at each respective bank.

Messages

Note from Pershing LLC regarding estimated values on brokerage account statements

Pershim relies on external valuation vendors for estimated, periodic valuation and market price information that is included in your brokerage account statement. From time to time, this information is not available of its molteceived in time for posting to your brokerage account statement, resulting in a valuation or market price of NIA or Not Available. Please contact your investment professional for current information

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regarding your investments and account statement.

For owners of auction rate securities, please note that many auction rate securities have become Iliquid due to current market conditions. As a result, it may not be possible to selt such securities at or near the estimated market price that is listed on your brokerage account statement.

Do not forget to make your annual contribution to your Traditional or Roth IRA for 2010, if you are eligible. Contributions for the 2010 tax year must be made by the April 15, 2011, deadtine. The maximum contribution limit is \$5,000 for 2010. Individuals aged 50 or older may also make an additional catch-up contribution of \$1,000. When making your annual contribution, please indicate in writing the tax year for which the contribution should be applied.

In accordance with federal regulations, individual retirement account (IRA) participants, with the exception of Roth IRAs, who are the age of 70 ½ or older must take their required minimum distribution (RMO) for the year in which they reach age 70 1/2 and each calendar year thereafter. RMD amounts must be distributed by December 31 of each year except for IRA participants who turn 70 1/2 guring the current year. These participants may delay their current year RMD until April 1 of the following year. Beginning in January, your RMD information will be included in your IRA account statement. Should you need to have your current year RMD amount calculated prior to receiving this information, please contact your investment professional or financial organization for assistance with your calculation request. With the exception of inherited IRAs, we will inform the Internal Revenue Service (IRS) of all IRA participants who are required to take an RMD from their IRA.

Disclosure Regarding Securities Lending in Margin Accounts

If you have a margin account, pursuant to your Margin Agreement with Pershing LLC and as permitted by law, margin securities in your account, may be used for, among other things, settling short sales and lending the securities for short sales. As a result, Pershing and your financial organization may receive compensation in connection therewith. Further, Pershing does not lend fully-paid-for securities without your written permission. Please contact your financial organization if you have any questions.

Contrary to the practice of many firms, Oppenheimer + Close, Inc. does not accept or receive payment for order flow. We constantly strive, as your agent, to obtain the best execution available for you, our client.

Upon written request to Oppenheimer + Close, Inc. you may obtain the identity of the venue to which your orders were routed for the six months prior to your request and the time of transactions that may have resulted from such orders.

A copy of our Form ADV Part 2 is available to our investment advisory clients upon written request.



GENERAL INFORMATION

- 1. All ordes and transactions shall be sately by your account and risk shall be a black its the motificien, miss, regulators, customs, usages, relings and interpretations of the exhaps or market and the clearing facility, if goy, where the paymantions are executed and/or stilled, at it applicable, of the Financial industry Regulatory Authority and to all applicate less and regulations
- 2. Whereas you are indebted to Penning LLC (Purshing) for any prount, all securities more the encounter's transfer year overall in which you have may not represent a all second all your Exhibits to Parahing, and Pershing may in its discretion at any lime, without leader. demant in aution to you, chose or reduce any or all of your accounts by public or private talk experiments or both of all or any securities carried in such accounts; any behaves morary due Parting to be promptly said by you.
- 3. Whence you are indebted to Pershing for any amount, all securities carried for your accountains or may be, without further natice to you, barred or pledged by Penstring. either specials have under circumstances which we promit the community thereof with other securities for any amount less than, expect to or greater than your facilities. In Penting, but not under circumstances for an amount prohibbed by law.
- 4. Tille to acceptions sold to you, whose Partition has acted as painting, shall recrain with Pesting until the entire purchase price is received or until the settlement date. utirban is later
- 5. Any true credit trainings carried for your account represents furnity payable upon demant which, although preceduraccounted for on Perstand's books of record, are not segregated and may be used to the canded of its business.
- If. You may have received confirmations to transactions which do not assess on your statement, if so, the transactions will access on your next periodic statement, Such transactions must be considered by you when correcting the value of your account. This is approach true if you have written cotions which have been emerised.
- If you related a mergin ecount. This is a combined abdoment of your economic economic. and a special immorantism account maintained for you under Regulation F of the Board of Governors of the Federal Reserve System. The comment record of the succession annuarius required by Requisition T in maliable for your inspection upon request.
- Interestchanged on debit balances in your account exposus on the sistement. The rate of interest and period covered are indicated. The rate may change from time to time due to harbations in money rates or other remove, brished is compated as discribed is material provincially furnished to you. Places contact your disential institution if you desire addition recipe.
- 2. A four-sid statement of Pendino is available for your personal (nunetion at Pending's offices. It copy of it will be mailed upon your willian request or you can view it orders al Paraling.com.
- 10. This statement should be retained for your records.
- 11. Dividents, internal and other distributions shown on this statement more charafted as taxable y nonlaxable based on curtico information brown as of the distribution date. This charification is subject to change and is polely intended for use at general information. After year and, Persisten in movimed to provide has information to the Internet Reverse Service and other governmental authorities. At that time Pershing will provide that interruption on the arrowal tax information statement to your was that statement to property out less filtings. The tex statement also includes other qualital information to assist in accumulating the data to prepare your tex returns.
- 12. Perahih-place not provide too, investment or legal outrie my sunders and no one assessing Purchingle authentical to render each solder. On rest rely open any auch nitrice, if given, however, and explanation are compall their tax objects to differ rely to the appropriate tax treatment of high bookings.
- 13. Parchite provides account protection for the rest equity of securities predicted and path held in pay account. Of this total, the Securities Invastor Protection Corporation (SPC) provides \$500,000 of coverage, including \$100,000 for claims by coats. Planshing providerad@Grad protection on terms windly to SPC for account not equity in excess of \$500000 through a commercial insurer. The account protection applies when a \$10°C

TERMS AND CONDITIONS

member first fails financially and in untable to ment obligations to enquelies clients, but it does not exclud against bases from the rise and fail in the market value of investments.

- 14. Paralling may trade for its own eccept as a market maker, specialist, odd tol dealer. black positioner, whitespear or invector. Consequently, at the time of any increasing you may make, Persiting may trave a position in such securities, which position may be partially or completely hadged.
- 15. If everage of ce transaction is indicated on the front of this statement your financial institution of Pershaul Way have acted as principal, agent or both, Details are lable SHOOT FROUBEL
- 16. This statement will be deemed conclusive and an account stated orless you advise Perstant in writing of any objection to it within ten clars after receipt. Any such objection should be sent to Paraling at One Purching Plaza, Jersey City, NJ 97399, ARR: Occupiance.
- 17. You are advised to report premptly any inaccuracy or discrepancy in your account (including ensultations trades) to your financial organization and Parshite, the custodian of your account. Please he advised that any oral communication should be re-confirmed in writing to further protect your rights, including your nights under the Securities Investor Protection Act. Your fine total organization's contact information cars be found on the first page of this statement. Paralling's contact information in as follows: Parating LLC: Legal Department: One Parating Plazar Jersey Chy, New Jersey 07399; (20% 413-3330), ERRORS AND DIESSIONS EXCEPTED.

This section includes the nell contest value of the securities in your account on a section and date basis. Including shart positions, at the close of the statement posted. The worlds prices have been obtained legal quotation genrium, which we believe to be mileble; however, we casery generation their processry. Securities for which a price in and available are marked "NIK" and are emitted from the Total.

The extremisd arrupt income (EAI) and estimated current yield (ECY) figures are enfirmated and for international purposes only. These figures are not considered to be a forecast or guarantee of feture meads. These figures are exceptled using adornation from providers: believed to be militable, bowerer, no assurance can be much as to the accurance. Since internal and disident rules are religion to charge at any time, and recybe affected by content and future economic, political, and business consistence, they should not be reled on for making investment, tracket, or tax decisions. These forms assume that the obsides. qualifies, interest and dividend rates, and prices remain constant. A capital gain or relate of pencipal may be included in the figures for certain securities, thereby overstating them. Refer of bear salumed of an eliable criticage of limit ylandros economic force, gain trace on calculate the figures. Accrued interest represents interest earned but not yet received.

THE ROLE OF PERSKING

Parshing comins your account on classing broken pursuant to a classing accusant with your Energial institution. Persting stay accept from your Energial institution without inquiry or investigation it orders for the purchase and sale of securities and other preparty and (ii) any other instructions concerning your account. Plansing is not responsible or Lable for any exiscs omissions of your financial institution or its employees and it does not supervise them. Penalting provides no investment advice not does it assess the suitability of any transaction. or eader. Pertiling acts as the agent of your financial leathways and you agree that you will act hold Penaling or any person composing of under common control with 8 table for any regiment losses incurred by you.

Pershing performs several Boy functions at the chrection of your frametal institution. It acts as conscient for funds and securities you may deposit with it directly or through your financial emplishes or that it processes as the regal of securities transactions it processes. In parties concurring the positions and believous in your account may only be directed to the Panthing Currents Service Department at (20% 413-3273. All other inquities regarding your account of activity should be directed to your fearning institution. For a description of other functions performed by Pershing planet consult the Disclosure Statement provided to you seen the opening of your account.

Your financial inadiation is emporelibly for adherence to the securities lives, regulations and make which apply to it recording its own committees and the supervision of your account, its sales recrementatives und other purposses. Your financial resiliation is also responsible for approving the opening of accounts and obtaining account documents; the accoptance and, is curtain instances, especifier of securities orders; the assessment of the suitability of those

transactions, where applicable; the rendering of investment advice, if any, to you and is general, for the oncome relationship that it has with you.

Perching may capture and place data about you used its your firm tiel information and inventment objectives. Bossiver, Perching is not reviewing this information undereducting administration your investments around with your firmulal status and objectives and you family release Perching from ony lightily to do so. Similarly, Parishing may appare and attent of amelion allocat whether a beater or an introducing fore in registered in a given state. You beneby release Perching from any failetty to conference to the evaluate whether a particular executive is registered in execut from experience

This nation is not maked as a definitive enumeration of every passible distantialization, but as a peneral disclosure. If you have any questions regarding this replice or if you would like additional copies of the Dischause Statement, please contact your financial implication.

PAYMENT FOR ORDER FLOW PRACTICES

The following statement is provided to you as required by Rule 1 Mc1-3 of the Securities Exchange Act of 1934.

Paratine seeds outsin equity enters to exchanges, Electronic Communication Networks, or braker-dealers during normalibraries hours and during extended trading sessions. Contain of those vances provide payments to Parahing or charge access fees to Pershing depending uson the characteristics of the order and any substructed execution. In addition, Perstangmay execute certain equity orders as principal. The details of these payments and fees are available upon veiden request. Persing receives payments for directing lated options order flow to certain cofton exchanges. Compare after its constraint in the form of a per cofton contract coult payment. For a fishing of organizations that pay Pershing for order flow, please refer to water.orderroatingdischeme.com.

Best Execution: Netwithstanding the province paragraph regarding payment for order flow, Parabing selects certain market contens to provide execution of over-the-counter and exphange-listed securities transactions which agree to accept orders, transmitted electronically up to a specified size, and to ensouts them at or better than the national best bid or offer (NESO). On cartain larger orders, or if the designated market carriers do not make a market in the subject security. Persine directly contacts market contact to obtain an execution. The designated market carriers to which orders are automatically routed are selected based on the consistent high quality of their executions in one or more wanted segments and their ability to provide opportunities for executions at prices supprior to the NESCO 11 an order for an exchange-fished security in roll immediately executable on the exchange to which it is routed, such order may be recresserted in the national marketplace using the various resume products for proc decovery. Pershing also regularly reviews reports for quality of exacution purposes.

PRIPORTANT ARBITRATION DISCLOSURES

- High off principal proper or the case out of the editing one in property with a manager. the trial byjery, except as provided by the relate of the arbitration forum in which a claim is filled.
- Activation awards are generally fixed and blocking; appropriate the large account revenue or क्यारी हा ब्रामेनिया इत्यानिक प्राप्त क्रिकेट
- The ability of the parties to differ decuments, whose statements and other decovery in quirarily more includes a bitration than in court proceedings.
- The artificity do not have to exclude the manufal for their small.
- The corest of a fabricates, will be easily include a more that of a fabrication who were on any afficient with the sourcise inchestry.
- The name of some arbitration feature many imposed time limits for bringing a claim in arbitration. In some cases, a chain that is invitable for application may be brought in smart.
- The rules of the artifection for any animal months that the claim is blad, and any animal months that they shall be inconstraint into this agreement.

IMPORTANT ARMITRATION AGREEMENT

Any controversy between you and an shall be submitted to enhibitation before the financial inclusive regulatory authority or any other realizant recording exchange on which is transaction giving rate to the chim lack piece (and only before such exchange).

No meson shall bring a putative of cartifad class action to arbitration, not seek to entirect any profit puls or bibation agreement against any person who has satisfed in court a pulstive class action, who is a member of a pulmine class who has not collect out of the class with respect to any claims encompassed by the putative class action until (f) the class coeffication: is durind; (1) the class is decartified; or (10) the continuer is excluded from the class by the court. Such independent to enforce on agreement to arbitrain after not constitute a waiver of any rights under this appropriate except to the galant stated hower. The laws of the State of New York openia.

Early of the above Terms and Conditions are unacceptable to you, plaque notify Pershing emmediately in writing by mentified may be One Penshing Plaza, Jamey City, NJ 07359, Attn. Complexion.

Page 7 of 7

Account Numbel

TRA FBO NITA LOWEY

	STATES HOUSE OF REPRESENTATIVES AR YEAR 2010 FINANCIAL DISCLOSURE STAT	EMENT	Form A For use by Members, officers, and employees	LEGISLATIVE RE	SOURCE CEN	
Name:	CHRISTOPHER Pamich GIBSON	Daytime	Telephone: 202-225-52/9	GAFIGE OF Y U.S. HOUSE OF RE	THE CLERK	
Filer Stetue Report Type	Member of the U.S. House of Representatives District: Annual (May 16, 2011) Amendment	Officer Employ	, , ,	A \$200 penalty against anyone 30 days late.		
PRELIMII	NARY INFORMATION — ANSWER EACH	OF THES	SE QUESTIONS			
fees) of \$20	your spouse have "earned" income (e.g., salaries or 0 or more from any source in the reporting period? Yes	No 🗌	VI. Did you, your spouse, or a dependent chik reportable gift in the reporting period (i.e., agg than \$335 and not otherwise exempt)? If yee, complete and ettach Schedule VI.	receive any gregating more	Yes	No X
lieu of payin reporting pe	ndividual or organization make a donation to charity in g you for a speech, appearance, or article in the riod? Yes plete and attach Schedule II.	No X	VII. Did you, your spouse, or a dependent chill reportable travel or reimbursements for travel period (worth more than \$335 from one source if yes, complete and attach Schedule VII.	n the reporting	Yes	No 🔀
income of m reportable as	your spouse, or a dependent child receive "unearned" ore than \$200 in the reporting period or hold any sset worth more than \$1,000 at the end of the period? Dete and attach Schedule III.	No 🗌	VIII. Did you hold any reportable positions on of filing in the current calendar year? If yes, complete and attach Schedule VIII.	or before the date	Yes	No 🔀
IV. Did you, or exchange \$1,000 durin	your spouse, or a dependent child purchase, sell, e any reportable asset in a transaction exceeding ng the reporting period?	№ 🔀	IX. Did you have any reportable agreement or an outside entity? If yes, complete and attach Schedule IX.	arrangement with	Yes	No 🔲
V. Did you, y liability (more	our spouse, or a dependent child have any reportable e than \$10,000) during the reporting period? Yes plete and attach Schedule V.	No X	Each question in this part appropriate schedule attach			
EXCLUS	ION OF SPOUSE, DEPENDENT, OR TRU	ST INFOR	RMATION — ANSWER EACH O	F THESE QU	ESTION	S

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because

excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000. See examples below.

Exclude: Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

	Source	Туре	Amount
	Keene State	Approved Teaching Fee	\$6,000
	State of Maryland	Legislative Pension	\$9,000
xamples:	Civil War Roundtable (Oct. 2nd)	Spouse Speech	\$1,000
	Ontario County Board of Education	Spouse Salary	NA
US		ACTIVE DUTY PAY + VACATION HONORA NIUM - 19/20 May	*32,620.04
STAN	ARMY (JAN-FEB 2010, PRIOR TO RETIREMENT 28 FEB 2010) FORD/HOOVER INSTITUTION (PRIOR TO SERVING IN THE CONGRESS)	HONORANUM-19/20 May	*/0,000.00

SCHEDULE III—ASSETS AND "UNEARNED" INCOME

BLOCK A					Е	3LO	CK B	}		_		Т	Г				BLO	СК	C		_			BL	OCI	ΚD					BLOCK E
Asset and/or Income Source				V	alu	e o	f As	sse	t						T	ype	e of	In	icome			A	mo	un	t of	f Ind	COI	ne			Transaction
Identify (e) eech asset held for investment or production of income with e fair market value exceeding \$1,000 at the end of the reporting period, end (b) eny other reportable asset or sources of income which generated more then \$200 in "unearned" income during the year. Provide complete names of stocks and mutuel funds (do not use ticker symbols.) For all IRAs end other retirement plens (such as 401(k) plans) that ere self-directed (i.e., plens in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the eccount that exceeds the reporting thresholds. For retire-	re mo plo If a ye ge	portetho ease an a	ting od o e sp asse and rate	ye. othe peci et wa	ar. er ti fy ti as s inc	If you han ne m sold clude	ou u fair neth duri ed c	et ause ma od u ng ti only value	a v arke used he re bec	alu t v l. epo cau	atio alue ortin se	n e, g it	ref yo tha (so ma Di ga di: if t	tirent to at guch ay wide ine at a to	nent cho gene as che che enda , evo	accorate 4016 ck a, i en l ee t ge	countspectate (k) pointed the fire incomment of the incom	ts ti cific x-de blan "f reet inve	that apply. For that do not allow c investments or eferred income as or IRAs), you None" column. t, and capital eeted, must be e. Check "None" d no income durod.	Amount of Income For retirement accounts that do not allow you to choose specific investments <u>or</u> that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividands, interest, and cspital gsins, even if reinvested, muet be disclosed as income. Check "None" if no income was earned or generated.					ch ck ts, by w.	Indicate if the asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.					
ment eccounts which ere not self-directed, provide only the name of the institution holding the eccount end its value at the end of the reporting period. For rental or other rael property held for investment, provide a complete address. For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its ectivities, and its geographic location in Block A. Exclude: Your personal residence, including second homes end vecation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or saving eccounts; and eny finencial interest in, or income derived from, a federal ratirement program, including the Thrift Savings Plan. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the far left. For a detailed discussion of Schedule III requirements, please rafer to the instruction booklet.		B - \$1,000	\$1,001 – \$15,00		\$50,001 - \$10,000 m	\$#07.001 - \$250.000.		**	25,000,000	Sea (and mod	K				CACE PTEC/BLIND TRUST Other Type of Income (Specify: e.g., Pertnership Income or Farm Income)			None					Over \$5,000,01∙0 ×	If only a portion of an asset is sold, please indicate as follows: (S) (partial) See below for example. P, S, E							
SP, Mega Corp. Stock					X						1			X			X						X								S (partial)
DC, Examples: Simon & Schuster		Ind	lefin	nte		X							ļ	****	x				Royalties	ļ	ļ,.	ļ			X			Х.	- 3		
HSBC Accounts (competitions)						X																	X								

SCHEDULE VIII—POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

Poaition	Name of Organization

SCHEDULE IX—AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement			
JUNE 2007	ASHEATE RIBUSTIANE COMPANY	ASHGATE RUBLISHED MY BOOK, SECURIAN THE STATE			
		IN FERRING 2008. I WrivED ALL ROYALTIES			
		ASHGATE RUBLISHED MY BOOK, SECURIAN THE STATE IN FERRINAY 2008. I WAIVED ALL ROYALTES AND HAVE MADE NO MONEY FROM H.			
. 0		•			

UNITED STATES HOUSE OF REPRESENTATIVES CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT			For	FORM A se by Members	, officers, and	Page 1 of 5 employed	D DELIVERED	
·							:6!0! 7	TIVE RESOURCE CLICIC.
Paul David Tonko					202-225-507	/!!!	AY 13 AM 9: 42	
	(Fu	ll Name)				(Daytime Telepho	one)	(Office Use Only)
Filer Status	House of Representatives			Employee be assessed ag		A \$200 penalty shall be assessed against anyone who files		
Report Type	Annual (May 15)	☐ Amendment	☐ Termina	tion	Termination Da	ate:		more than 30 days late.
PRELIMINA	ARY INFORMATION -	ANSWER EACH	OF THESE C	QUESTI	ONS		•	
l. or more from	our spouse have "earned" income (a. n any source in the reporting period? plete and attach Schedule I.		Yes 🗸 No 🗌	VI. tha re	ou, your spousa, or a porting period (i.e., a pt)? s, complete and at	ggregating more th	an \$335 end nof o	
II. you for a ape	vidual or organization make a donation make a donation to the repeatance, or article in the repeatance and attach Schedule II.		Yes 🗌 No 📝	VII. reimi	ou, your spouaa, or a sursements for travel one aourca)? s, complete and at	in the reporting per	riod (worth more ti	
III. more than \$2 more than \$1	r spouse, or a dependent child receivelon in the reporting period or hold and the period? plete and attach Schedule III.		Yes 🔽 No 🗌	VIII. curre	ou hold any reportabl nt calendar year? s, complete and at			iling in the Yes ☐ No ☑
IV. reportable as period?	r spousa, or dependent child purches set in a transaction exceeding \$1,00 plete and attach Schedule IV.		Yes □ No 🗸	IX. entity	ou have any reportable? s, complete and at	-	_	outside Yes ✓ No 🗌
V. (more than \$	r spouse, or a dependent child have a 10,000) during the reporting period? plete and attach Schedule V.		Yes 🗌 No 🗸		h question in t edule attached			d and the appropriate
EXCLUSIO	N OF SPOUSE, DEP	NDENT, OR TRU	ST INFORMA	ATION -	- ANSWER E	ACH OF T	IESE QUE	STIONS
Trusts-		ified Blind Trusts" approv						Yes No 🗸
Exemption		n this report any other ass hree tests for exemption?						

SCHEDULE I - EARNED INCOME

Name Paul David Tonko

Page 2 of 5

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honorana; list only the source for other spouse earned income exceeding \$1,000.

Source	Туре	Amount
New York State Employees Retirement System	Retirement Pension	\$64,641.36

SCHEDULE III - ASSETS	AND	"UNEARNED"	INCOME
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Name Paul David Tonko

Page 3 of 5

BLOCK A	BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or Income Source Identify (a) each esset held for Investment or production of income with a fair merket velue exceeding \$1,000 et the end of the reporting period, end (b) any other reportable aeeet or sources of incoma which generated more than \$200 in "unearned" Income during the yeer. Provida complete names of stocks and mutual funds (do not use ticker symbols.) For all IRAs end other retirement plans (such ae 401(k) plens) that are eelf-directed (i.e., plans in which you have the power, evan if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the inatitution holding the account end its value at the end of the reporting period. For rental or other real property held for investment, provide a complete addrese. For en ownership interest in a privately-held buelness that is not publically traded, etate the name of the businese, the nature of its ectivities, and its geographic location in Block A. Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting	Year-End Value of Asset at close of reporting year. If you use e valuation method other than fair market value, please specify the method used. If an aeeet was sold end is included only because it is generated income, the value should be "None."	Type of Income Check all columns that apply. For retirement eccounts that do not allow you to choose apecific investments or that generate tax-deferred Income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, intsrest, and capital gains, even if reinvested, must be disclosed ae income. Check "None" if the asset genarated no income during the reporting period.	Amount of Income For retirement accounts that do not allow you to choose specific investments or thet generats tax-deferred income (such as 401(k) plens or IRAs), you may check the "None" column. For all other assets, indicats the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.	Transaction Indicate if aeset had purcheses (P), sales (S), or exchanges (E) exceeding \$1,000 In reporting year.
Equity Club of Amsterdam	\$1,001 - \$15,000	None	NONE	

SCHEDULE VI - GIFTS

Name Paul David Tonko

Page 4 of 5

Report the source, a brief description, and the value of all gifts totaling more than \$335 received by you, your spouse, or a dependent child from any source during the year. Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$134 or less need not be added towards the \$335 disclosure threshold. Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
21st Annual Auction - Friends, Food, and Fun Gala for the Regional Food Bank of Northeastern New York	Raffle winner - Assorted dining gift cards	\$2,052

SCHEDULE IX - AGREEMENTS

Name Paul David Tonko

Page 5 of 5

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
April 2008	State of New York	Pension for New York State Employment from 1972-2008
	<u> </u>	

UNITED STATES HOUSE OF REPRESENCALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATE		Factor by March 1997 1997 1997 1997	ND DELIVERI VE PESOURCE CLICIT.
Maurice D. Hinchey (Full Ns me)		2011 M 202-225-6335	14 15 18
Filer Status Member of the U.S. State: NY House of Representatives District: 22		ficer Or Employing Office: nployee Termination Date:	A \$200 penalty shall be assessed against anyone who files more than 30 days
Report Type Annual (May 15) Amendment	☐ Termination		late.
PRELIMINARY INFORMATION ANSWER EAC	H OF THESE QU	JESTIONS	·
Did you or your spouse have "earned" income (e.g., saleries or fees) of \$20 or more from any cource in the reporting period? If yes, complete and attach Schedule I.	0	Did you, your epouse, or a dependent child receive any reportate the reporting period (i.e., aggregating more than \$335 and not descript)? If yes, complete and attach Schedule VI.	
Did eny individual or organization make e donation to charity in lieu of paying you for e speech, appearence, or erticle in the reporting period? If yes, complete end attach Schedule II.	Yes 🗌 No 📝	Did you, your epouse, or e dependent child receive any reports reimbursements for travel in the reporting period (worth more t from one source)? If yes, complete and attach Schedule VII.	ble travel or than \$335 Yes V No
Did you, your epouse, or e dependent child receive "uneerned" Income of more than \$200 in the reporting period or hold eny reportable asset worth more than \$1,000 at the end of the period? If yss, complete and attach Schedule III.	Yes 🕢 No 🗀 V	Did you hold eny reportable positions on or before the date of fill. current calender yeer? If yes, complete and attach Schedule VIII.	filing in the Yes ☐ No ☑
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable esset in a transaction exceeding \$1,000 during the reporting period? If yes, complets and attach Schedule IV.	Yes 🐶 No 🖂	Did you have eny reportable agreement or arrangement with an entity? If yes, complate and attach Schedule IX.	outside Yes 🕢 No 🗌
V. Did you, your spouse, or e dependent child have any reportable liability (more than \$10,000) during the reporting period? If yes, complete and attach Scheduls V.	Yes No 🗸	Each question in this part must be answered schedule attached for each "Yes" response.	i and the appropriate
EXCLUSION OF SPOUSE, DEPENDENT, OR TR	UST INFORMAT	ION ANSWER EACH OF THESE QUE	STIONS
Trusts Details regarding "Qualified Blind Trusts" epp	roved by the Committee	on Ethics and certain other "excepted trusts" need not be benefiting you, your spouse, or dependent child?	
Exemptions— Have you excluded from this report any other because they meet sil three tasts for exemption	assets, "uneamed" Inco n? Do not answer "yes	ome, transactions, or liabilities of a spouse or dependent c " unless you have first consulted with the Committee on E	hild . thics. Yes ⊟ No 🗹

SCHEDULE I - EARNED INCOME

Name Maurice D. Hinchey

Page 2 of 8

List the eource, type, end amount of eerned income from eny eource (other than the filer's current employment by the U.S. Government) toteling \$200 or more during the preceding celendar yeer. For e epouse, list the source end emount of eny honorerie; liet only the eource for other epouse eerned income exceeding \$1,000.

Source	Туре	Amount
State of New York	Pension	\$35,800
DKC Government Affairs	Spouse Salary	N/A

	BLOCK A	BLOCK B	BLOCK C	BLOCK D	BLOCK E
Identify (a) fair market (b) any oth more then Provide co symbols.) For sil IRA aelf-directe exerciaed, aaset held retirsment the institut reporting properties. For an own publically sctivities, a exclude: homes (undeposits to accounts:	set and/or Income Source each asaet held for investment or production of Income with a velue exceeding \$1,000 at the end of the reporting period, end er reportable asset or sources of income which generetsd \$200 in "unearned" income during the year. mplete namea of stocks and mutual funds (do not use ticker s end other retirement plans (such as 401(k) plans) that ere ed (i.e., plans in which you heve the powar, even if not to select tha specific investments), provide the value for each in the account that exceeds the reporting thresholds. For accounts which are not self-directed, provide only the name of ion holding the account and its value at the end of the seriod. or other real property held for investment, provide a complete hership interest in a privately-held business that is not treded, state the name of the business, the nature of its and its geographic location in Block A. (our personal residence, including second homes and vacation less there was rental income during the reporting period); any stating \$5,000 or less in a personal checking or saving and any financial interest in, or income derived from, e federal	Year-End Value of Asset st close of reporting year. If you use a valuation method other than fair market value, pleass specify the method used. If an asset was sold and is included only because it is genereted income, the value should be "None."	Type of Income Check sil columns that apply. For retirement accounts that do not allow you to choose specific investments or that generete tax-deferred incoms (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset genereted no income during the reporting period	Amount of Income For retirement accounts thet do not allow you to choose specific investments or that generete tax-deferred income (such as 401(k) plena or IRAs), you may check the "None" column. For ell other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, sven if reinveated, must be disclosed as income. Check "None" if no income was earned or generated.	Transaction Indicate If saset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 In reporting yeer.
	Echo Hill Property, Saugerties, NY	\$100,001 - \$250,000	None	NONE	
	Partition Street Property, Saugerties, NY	\$250,001 - \$500,000	None	NONE	
	Congressional Federal Credit Union	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
	Ulster Savings Bank	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	
SP	ING Direct Savings	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	
SP	First Eagle Global FD Class C	\$1,001 - \$15,000	DIVIDENDS/CAPI TAL GAINS	\$1 - \$200	P

SCHED	ULE III - ASSETS AND "UNEARNED" IN	COME	Name Mau	rice D. Hinchey		Paga 4 of 8
SP	First Eagle US Value Fund C	1 '	,001 - 5,000	DIVIDENDS/CAPI TAL GAINS	\$1 - \$200	Р
SP	Franklin Templeton Mutual Series Global Discovery Fund	, ,	,001 - 5,000	DIVIDENDS/CAPI TAL GAINS	\$1 - \$200	
SP	Oppenheimer Developing Markets Fund Class C		,001 - 5,000	CAPITAL GAINS/DIVIDEN DS	\$1 - \$200	Р
SP .	Wells Fargo Advantage Asset Allocation FD Class C (The name of this fund in 2009 was Evergreen Equity Asset Allocation Mutual Fund Class C)		,001 - 5,000	DIVIDENDS/CAPI TAL GAINS	\$1 - \$200	
SP	BlackRock Mid-Cap Value Equity (IRA)		,001 - 5,000	None	NONE	
SP	BlackRock Global Allocation (IRA)		5,001 - 0,000	None	NONE	
SP	BlackRock Funds Large Cap Value FD CL I (IRA)	7 '	,001 - 5,000	None	NONE	
SP	First Eagle Global Fund Class I (IRA)	1 '	5,001 - 0,000	None	NONE	
SP	Goldman Sachs Growth Opportunities I (IRA)		,001 - 5,000	None	NONE	
SP	Oakmark Fund Class I (IRA)	1 '	,001 - 5,000	None	NONE	
SP	Oppenheimer Developing Markets Y (IRA)		,001 - 5,000	None	NONE	
						

\$15,001 -\$50,000

None

NONE

SP

PIMCO Total Return Fund I

(IRA)

OULE III - ASSETS AND "UNEARNED" INCOM	Name Maurice D. Hinchey	Paga 5 of
(Note: The eight IRA funds listed above were acquired as part of a rollover of the seven Oppenheimer accounts listed for spouse on the 2009 disclosure filing.)		

Report eny purchaee, eale, or exchange by you, your spouse, or dependent child during the reporting yeer of eny reel property, etocke, bonds, commodities futuree, or other securities when the emount of the transection exceeded \$1,000. Include transections that resulted in a lose. Provide a brief description of eny exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an easet is acid, please so indicate (i.e., "pertial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
SP	First Eagle Global FD Class C	Р	N/A	April 23, 2010	\$1,001 - \$15,000
SP	First Eagle Global FD Class C	P	N/A	July 9, 2010	\$1,001 - \$15,000
SP	First Eagle Global FD Class C	Р	N/A	August 19, 2010	\$1,001 - \$15,000
SP	First Eagle US Value Fund C	Р	N/A	December 13, 2010	\$1,001 - \$15,000
SP	Oppenheimer Developing Markets Fund Class C	Р	N/A	December 13, 2010	\$1,001 - \$15,000
SP	Evergreen Equity Asset Allocation Mutual Fund B and C (IRA) (This also became known as Wells Fargo Asset Allocation) (Note: This did not generate at least \$200 in capital gains/dividends in 2010)	S	No	February 11, 2010	\$1,001 - \$15,000
SP	Wells Fargo Asset Allocation Class B (This was also known as Evergreen Equity Asset Allocation) (Note: This did not generate at least \$200 in capital gains/dividends in 2010)	S	No	November11, 2010	\$1,001 - \$15,000
SP	Fidelity Advisor New Insights (IRA)	S	No	February 11, 2010	\$1,001 - \$15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Maurice D. Hinchey

Page 7 of 8

Identify the source end list trevel Itinerary, detes, end nature of expensee provided for travel end trsvel-releted expenses toteling more than \$335 received by you, your epouse, or e dependent child during the reporting period. Indicete whether e femily member eccompenied the treveler et the sponsor'e expense, and the emount of time, if eny, thet wes not et the sponsor's expense. Disciosure is required regerdless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Trevel-releted expenses provided by federel, stete, end locel governments, or by e foreign government required to be seperetely reported under the Foreign Gifts end Decoratione Act (5 U.S.C § 7342); political travel that is raquired to be reported under the Federel Election Cempelign Act; trevel provided to e spouse or dependent child thet is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure DestinationPoint of Return		Food? (Y/N)	Was a Family Member Included? (Y/N)	Days not at sponsor's expense
Aspen Institute	February 15-21	New York-Madrid-New York	Y	Y	N	No n e
Aspen Institute	April 5-11	New York-Lisbon-NY	Y	Y	Y	None
Aspen Institute	August 16- 21	Newark,NJ-Vancouver- Newark, NJ	Y	Y	N	None

SCHEDULE IX - AGREEMENTS

Name Maurice D. Hinchey

Page 8 of 8

identify the dete, parties to, and general terms of any agreement or errangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferred of peyments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
January 1993	State of New York	Pension annuity for service in State Assembly

			HAND DELIVERED
UNITED STATES HOUSE OF RE	PRESENTATIVES	1 Oldin A	THE DELIVERED
CALENDAR YEAR 2010 FINANCIAL DISCLOS	URE STATEMENT	For use by Members, officers, and employees	
			LAGISLATIVE RESOURCE CENTER
Brian M. Higgir	s	716-852-3501	10 2011 APR 26 PM 1: 46
(Full Name)		(Daytima Telephone)	(OfficeOBSE ONIVATE CLEEK
Filer House of Representatives		fficer Or Employing Office: nployee	A \$200 penalty shall be assessed against anyone who files
Report Type Annual (May 15)	nendment	Termination Date: on	more than 30 days late.
PRELIMINARY INFORMATION ANSW	VER EACH OF THESE QU	JESTIONS	_
Did you or your apouse have "earned" income (e.g., salaries or more from any source in the reporting period? If yes, complete and attach Schedule I.	or fees) of \$200 Yes 🕢 No 🗌	Did you, your spouse, or a dependent child receive any reportal the reporting period (i.e., aggregating more than \$335 and not o exempt)? If yes, complete end ettach Schedula VI.	
II. Did any individual or organization make a donation to charity you for a apeech, appearence, or article in the reporting period of the property of the prop	in lieu of paying od? Yes No 🗸	Did you, your spouse, or a dependent child receive any reportal relmbursements for travel in the reporting period (worth more tifrom one source)? If yes, complete end attach Schedula VII.	
Did you, your apouse, or a dependent child receive "unearne more than \$200 in the reporting period or hold any reportable more than \$1,000 at the end of the period? If yes, complete and attach Schedula III.	d" Income of easset worth Yes ✓ No □	Did you hold any reportable positions on or before the date of fi IIII. current calendar year? If yes, complete and attach Schedule VIII.	iling in the Yes ☑ No ☐
Did you, your spouse, or dependent child purchase, sell, or e IV- reportable asset in a transaction exceeding \$1,000 during the period? If yes, complete and attach Schedule IV.		Did you have any reportable agreement or arrangement with an entity? If yes, complete and attach Schedule IX.	outside Yes ☑ No □
Did you, your spouse, or a dependent child have any reportal V. than \$10,000) during the reporting period? If yes, complete and attach Schedule V.	ble liability (more Yes ☑ No ☐	Each question in this part must be answered schedule attached for each "Yes" response.	• • • • • • • • • • • • • • • • • • • •
	T OR TRUST INFORMAT	TION ANSWER EACH OF THESE QUE	
Trusts Details regarding "Qualified Blind	Truets" approved by tha Committee	on Ethics and cartain other "axcepted trusts" need not be benefiting you, your spousa, or dapendant child?	
		oma, transactions, or liabilities of a spouse or dependant c " unless you hava first consulted with tha Committee on E	

SCHEDULE I - EARNED INCOME

Name Brian M. Higgins

Page 2 of 7

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Т	ype Amount	
Buffalo Board of Education	Spouse Salary	\$50,190	

	BLOCK A	BLOCK B	BLOCK C	BLOCK D	BLOCK E
Identify (a a fair meriend (b) an generated Provide consymbols.) For ell IRA self-direct exercised eeset held retirement of the instreporting For rental addrese. For an ow publically activities, Exclude: vacation in	As end other retirement plene (euch as 401(k) plans) that are ted (l.e.,plans in which you have the power, even if not to select the specific investments), provide the velue for each in the eccount that exceede the reporting thresholds. For taccounts which ere not self-directed, provide only the name citution holding the account and its value at the end of the	Year-End Value of Asset at close of reporting year. If you use e valuation method other than fair market value, please epecify the method used. If en asset was sold and is included only because it is generated income, the value should be "None."	Type of Income Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred Income (such es 401(k) plans or IRAs), you may check the "None" column. Dividends, Interest, end capital gaine, even if reinvested, muet be dieclosed as income. Check "None" if the asset generated no income during the reporting period.	Amount of Income For retirement accounts that do not ellow you to choose specific investments or thet generate tax-deferred income (such as 401(k) plene or IRAs), you mey check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital geins, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.	Transaction Indicate If eseet had purchases (P), sales (S), or exchenges (E) exceeding \$1,000 in reporting year.
	Congressional FCU	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
	CRV Capital LLC (not self-directed)	\$15,001 - \$50,000	CAPITAL GAINS/DIVIDEN DS/INTEREST	\$5,001 - \$15,000	
DC	M&T Bank	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
DC	M&T Bank	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
SP	M&T Bank	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
	M&T Bank	\$1,001 - \$15,000	INTEREST	\$1 - \$200	

SCHED	ULE III - ASSETS AND "UNEARNED" I	NCOME Name Brian	M. Higgins		Page 4 of 7
DC	NYS College Savings Account	\$1,001 - \$15,000	None	NONE	
DC	NYS College Savings Account	\$15,001 - \$50,000	None	NONE	
	NYS Employees' Credit Union	\$1 - \$1,000	None	NONE	
SP	NYS Employees' Retirement System (not self-directed)	\$15,001 - \$50,000	None	NONE	
	NYS Employees' Retirement System (not self-directed)	\$15,001 - \$50,000	None	NONE	

SCHEDULE V - LIABILITIES

Name Brian M. Higgins

Page 5 of 7

Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
SP	Chase		Revolving charge	\$15,001 - \$50,000

SCHEDULE VIII - POSITIONS

Name Brian M. Higgins

Page 6 of 7

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization	
Limited Partner	CRV Capital LLC	

SCHEDULE IX - AGREEMENTS

Name Brian M. Higgins

Page 7 of 7

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
OPEN	NYS Employees' Retirement System	Pension at retirement. Pension account is not self-directed.

83/87

SCHEDULE !- EARNED INCOME

	Source	Туре	Amount
	Keene State	Approved Teaching Fee	\$8,000
mpies:	State of Maryland	Legislative Pension	\$9,000
propios.	Civil War Roundtable (Oct. 2nd)	Spouse Speech	\$1,000
	Ontario County Board of Education	Spouse Selary	NA NA
2 YU	TITTE LOSIS LOTING PENSION	Legislative Rensian	905Z
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.,			
			
		1	

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

Mario Louise M. Slaughter

BLOCK A		BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or Income Source	Va	alus of Asset	Type of Income	Amount of Income	Transaction
Identify (a) each asset hald for Investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearmed" income during the year. Provide complete names of stocks and multical funds (do not use Edder symbols.) For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting threshetts. For retire-	reporting year method other please specifi if an asset war year and is	ne of asset at close of ir. If you use a valuation ir than fair market value, y the method used. is sold during the reporting included only because it come, the value should be	Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or iRAs), you may check the "Nore" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "Nore" if the asset generated no income during the reporting period.	For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or RNAs), you may check the "None" column. For all other assets, indicate the catagory of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no incomewas earned or generated.	Indicate if the asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
ment accounts which are not saff-directed, provide only the name of the institution holding the account and its value at the and of the reporting period. For rental or other real property held for investment, provide a complete address. For an ownership interest in a privately-held husiness that is not publicly traded, state the name of the business, the nature of its activities, and its geographic loca-	A B C D	ERGHIJ-KC	Farm sncomé)	I , 11° 18° 3V° V , VI VA VIII 1X , X° XI	If only a portion of an asset is sold, please indicate as follows: (S) (pareal)
tion in Block A. Exclude: Your personal residence, including second fromes and vacation fromes (unless there was rental income during the reporting period): any decosite totaling \$5,000 or less in a personal checking or sering accounts; and any financeal interest in, or income derived from, a federal refirement program, including the Thrift Savings Plan. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependant child (DC), or is jointly held with your spouse (JT), in the optional column on the fer left. For a detailed discussion of Schedule III requirements, please refer to the instruction booklei.	None \$1 \$1,060 \$1.001 \$15,000 \$1,5901 \$60,000	\$50,001 \$1(10,000 \$100,001 \$250,000 \$250,001 \$1,000,000 \$1,000,001 \$6,000,000 \$5,080,801 \$25,000,000 \$25,000,001 \$26,000,000 \$25,000,001 \$26,000,000	NONE DIVIDENTS: RENT INTEREST. CAPITAL GAINS EXCEPTED/ELIND TRUST Other Type of income (Specify: e.g., Purinership Income or f	None \$1 - \$200 \$201 - \$1,000 \$1,001 - \$2,500 \$1,001 - \$5,000 \$15,001 - \$5,000 \$15,001 - \$6,000 \$15,001 - \$1,000,000 \$1,000,001 - \$1,000,000 \$1,000,001 - \$5,000,000	Ses below for example. P, S,
SP. Mega Corp. Stock		x	X X	x	S (partial)
DC, Examples: Simon & Schuster	Indefinite		Floyelties		
JT 1st Back of Paducah, KY Accounts		X	X	X X	
51 Fidelity Cush Roserves		X	X		
IT Fidelity News Millennium Fd	X		X	T X	
of Fidelity Independence Fd	X		X X	X	
OT Opperheumer Capital Apporin	X		X		
IT Firelity Freedom Theorie Fd		x	X		P
IT-Citigram	Y		X	X	S

SCHEDULE III—ASSETS AND "UNEARNED" INCOME

Name Louise M. Slaughter

age 4 or 5

05/04/2011

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SLAUGHTER

Continuation Sheet (if needed)

BLOCK A BLOCK E BLOCK D BLOCK B BLOCK C Asset and/or Income Source Year-End Type Amount of income Transaction Value of Asset of Income BCDEFGH VI VII VIII IX SP. \$25,000,001 - \$50,000,000 S, \$5,000,001 - \$25,000,000 \$1,000,001 - \$5,000,000 DC. (Specify: e.g., Partnership Income or Farm Income) \$500,001 ~ \$1,000,000 41,000,001 - \$5,000,000,19 \$250,001 - \$500,000 \$100,001 - \$250,000 Other Type of Income S100,001 - \$1,000,000 EXCEPTED/BLIND \$15,004 - \$50,000 т. Cyrer \$50,000,000 \$50,001 - 100,000 \$1,001 - \$15,000 CAPITAL GAINS \$15,001 - \$60,000 \$5,001 - \$15,000 \$1,001 - 52.500 \$2,501 - \$5,000 \$201 - \$1,000 DIVIDENDS 51 - \$1,000 INTEREST \$1 - \$200 NONE HENT Nos Proder Gamille Co ... Clores Co Pidelity Independence (189) Sanda Fdelith Grotthe Scrottal Partial Senes Quest Class LIBER EST CD (164) S(Portal) Easter on Source Loon Sovinos + CD's Congressional Fol Credit Union Ä

SCHEDULE IV— TRANSACTIONS

Name Louise M. Slaughter Page 5 of 5

or depen	rry purchase, sale, or exchange transactions by you, your spouse, dent child during the reporting period of any security or real prop- t for investment that exceeded \$1,000. Include transactions that	of Tr	Type ansa			Date			Am	oun	t of	Trans	sacti	ion		
resulted action. E dren, or ates rent cate (La Capital	in a capital loss. Provide a brief description of any exchange trans- xclude transactions between you, your spouse or dependent chil- the purchase or sale of your personal residence, unless it gener- at income. If only a portion of an asset is sold, please so indi- , "pertial sale"). See example below. Galas — if a sales transaction resulted in a capital gain in excess check the "capital gains" box and disclose this income on Schedule	PUROHASE	SALE	EXCHANGE	Check Box if Capital Gain Exceeded \$200	(MO/DAY/YR) or Quarterty, Monthly, or BI-weekly, if applicable		\$15,001 \$50,000	\$50,001- \$100,000	\$100,001- \$250,000	S250,001-	\$500,001- \$1,000,000	\$1,000,001 \$5,000,000	\$5,000,001- \$25,000,000	\$25,000,001- \$50,000,000	Over \$50,000,000 -
P, DC, J SP	Asset Example: Mega Corporation Common Stock (partial sale)		X	-		10-12-10	<u>. </u>	х	:				:. :		<u> </u>	
31	Filelity Free form In come Fd	Х				10-15-10			X						<i>f</i>	
J1	Change	 	×			8-9-10		X			-					
	Fideth Indoonlong Find (1804 Your)		X			10-19-10	X									******
	Fidelity Grandlathic (1901 (2000)		v			10-15.10										
SP	Fidelity Grown water (1974 XRMD)		X			10-15-10		X								
SP	Fideth Independence Fund (IRCA 1600) Fidelity Grandle the (1841 (ROD) Fidelity Grandle the (1841 (ROD) Fidelity Grandle the (1841 (ROD) Fastman Savings about (Partia) [IRC] (MRD)		X	٠		10-20-W	1	X								
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				,												
	(PMX) = Regional Musicular															
	(BMD) = Regulared Minimum Distribution															
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HAND DELIVERED

UNITED STATES HOUSE OF REPRESENTATIVES CALENDAR YEAR 2009 FINANCIAL DISCLOSURE STATEM	MENT	Form A For use by Members, officers, and employees	Page 1 or
			1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1
Name: Thomas W. Reed TI D	Joseffmo	Tolonhonoi 2	2011 JAN 13 PM 2: 06
	zayını	Telephone: 202-225-316	(Office Use Only)
Filer Status Member of the U.S. State:	Officer Employ	- , ,	A \$200 penalty shall be assessed
Report 7/15/11 Type Annuel (Mey 17, 2010) Amendment		Termination Date:	against anyone who files more than 30 days late.
PRELIMINARY INFORMATION — ANSWER <u>EACH</u> O)F THE	SE QUESTIONS	
I. Did you or your spouse have "earned" income (e.g., saleries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I. Yes	No 🗌	VI. Did you, your spouse, or e dependent chili- reportable gift in the reporting period (i.e., ago than \$335 and not otherwise exempt)? If yes, complete and attach Schedule VI.	
II. Did any individual or organization make e donation to charity in lieu of paying you for e speech, appearance, or erticle in the reporting period? If yes, complete and attach Schedule II.	No X	VII. Did you, your spouse, or e dependent chil reportable trevel or reimbursements for travel period (worth more than \$335 from one source if yes, complete and attach Schedule VII.	in the reporting
III. Did you, your spouse, or e dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	No L	VIII. Did you hold any reportable positions on of filing in the current calendar year? If yes, complete and attach Schedule VIII.	or before the date Yes No
IV. Did you, your spouse, or a dependent child purchase, sell, or exchange any reportable asset in e transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	No	IX. Did you have eny reportable agreement or with an outside entity? If yes, complete and attach Schedule IX.	arrangement Yes No No
V. Did you, your spouse, or e dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes Yes	No 🗌		must be answered and the ed for each "Yes" response.
EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST	T INFOF	RMATION — ANSWER <u>EACH</u> (OF THESE QUESTIONS
TRUSTS—Details regerding "Quelified Blind Trusts" approved by the Committee be disclosed. Have you excluded from this report details of such a trust benefiting	on Standard g you, your	ds of Official Conduct and certain other "excepte spouse, or dependent child?	d trusts" need not Yes No
EXEMPTION —Heve you excluded from this report any other assets, "uneamed" they meet all three tests for exemption? Do not enswer "yes" unless you heve first	income, tra est consulted	insactions, or liabilities of e spouse or dependent d with the Committee on Standards of Official Co	r child because nduct. Yes No

Name Thomas W. Reed II	Page 2 of 9

SCHEDULE I - EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000. See examples below. Exclude: Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act. Source Type Amount Approved Teaching Fee \$6,000 Keene State Legislative Pension \$9,000 State of Maryland Examples: Spouse Speech Civil War Roundtable (Oct. 2nd) \$1,000 Spouse Salary Ontario County Board of Education Law Office of Thomas W. Reed II, PLCC

Name Thomas W. Reed II Page of

SCHEDULE II - PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honoranium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. A green envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
		Speech	Feb. 2, 2009 Aug. 13, 2009	\$2,000
xamples:	Association of American Associations, Washington, DC XYZ Magazine	Article	Aug. 13, 2009	\$500
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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

BLOCK A Asset and/or Income Source	BLOCK B Value of Asset										BLOCK C Type of income								BLOCK D Amount of Income										
Identify (a) aach asset held for investment or production of incoma with a fair market value exceeding \$1,000 at tha end of tha reporting period, and (b) any other asset or sources of income which generated more than \$200 in "unearned" Income during the year. For rental property or land, provide a completa address. Provide full names of stocks and mutual funds (do not use ticker symbols). For all IRAs and other retirement plans (such as 401(k) pians) that are self directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments).	re m pl if ye	por eth eas an a	ting od (e sp asse end rate	vali yea othe oeci et wa	ue ar. I er th fy th as s inc	of f you nan ne m old lude	asse fair nethe duri	et ise m od i od i	at c a va arket used the re bec te sh	alua va por	tion lue, ting e it	re no in si in in D	tirer test vest lott dice g ivid este hect	k ell ment allow tmen her a tte th the ianda k "No	col ple yo ts, y asse a ty app and noul	lumi ns c ou to you i its ili pe c orop d int ld be	ns ti or ac or ch may of inco or inco	hat apply. For ecounts that do noosa specific write "NA." For ding all IRAs, come by checker box balow, st, even if reinted as income. did not genar-calandar year.	poly. For set in the do not allow you to choose specific investments, you may write "NA" for income. For all other assets, Including all IRAs, indicate the cetegory of income by checking the eppropriate box below. Dividends and interest, even if reinnif									asset had purchases (P), sales (S), or exchanges (E)	
provide tha value and income information on each asset in the account that exceeds the reporting threshold. For retirement plens that are not salf-directed, name the institution holding the account and its value et the and of the reporting period. For an active business that is not publicly traded, state tha name of the business, the nature of its activities, and its geographic location in Block A. For additional information, see the instruction booklet. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by you or your spouse's child, parent, or sibling, any deposits totalling \$5,000 or lass in personal savings accounts; and any financial interest in or incoma darived from U.S. Government ratirement programs. If you so choose, you may indicata that en asset or income source is that of your spousa (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far ieft.	A You	B 1 \$1,000	\$1,001 – \$15,000	\$15,001 — \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	E00,001 — \$1,000,000	\$1,000,001 - \$5,000,000	\$5,000,001 — \$25,000,000	\$25,000,001 = \$50,000,000	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	None –	1.8200 CONTRACTOR OF THE PROPERTY OF THE PROPE	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000		\$15,001 - \$50,000	\$100,000	1,000,000	\$1,000,001—\$5,000,000 Programmer X	asset is sold, please indicata as follows: (S) (partial) See below for example.
SP, SP Mega Corp. Stock DC, Examples: Simon & Schuster		722	defin		X				9 9 9				X			х		Royalties				X		X			1	14 14 15 15	S (partial)
1st Bank of Paducah, KY Accounts Mare T Bank		96, 30, 30, 30, 30, 30, 30, 30, 30, 30, 30		X		X			10.70		が設定			Î	X					X	-								
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Real Estate					X							Ž							X			i Liği	Н		_		1	(d)	
NYS Retirement	X		igspace	製物						6 6		X				_			Į.X	eff St.		66 84				34) 33			
Long Branch Road Livernal, N.Y. Teal estate Life Insurance			×	186 186 186		1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	i		<i>2</i>	7. 3.	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	X			\$\frac{1}{2}\text{7}		है। इस्टे		X	3	<u>.</u>					7.5 (1.2			
Northwest			X							43		X							X					. 97			_:.)	

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Thomas W. Reed II Page 5 of 9

Continuation Sheet (if needed)

	BLOCK A Asset and/or Income Source		BLOCK B Year-End Value of Asset													LOCK Type Inco		BLOCK D Amount of Income										BLOCK E Transaction
SP, DC,		Vone	1,000	\$1,001 – \$15,000	\$15,001—\$50,000	42 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	\$100,001 \$250,000 The	200	0	\$5,000,001 - \$25,000,000 X	Over \$50,000,000	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS EXCEPTED/BI IND TRUST	Other Type of income (Specify)	None	\$1 - \$200		\$1,001 - \$2,500	Here to the case	\$5,001 - \$15,000		8	90		P, S, E
	Life Insurance Guardian Fritz-Klee Haddings LLC Fritz-Klee Reathy LLC Bending River Estates LLC Law Office of Thomas L. Read II, PLLC Monkey Run Reatty LLC Mineral Rights Land Tuschauca, NY	Г	417	X		j.	3	100			iliya iliya	X			7.X	99		X	剪			3				1		
	Frus-Klee Hadings LLC	Γ				X		100	1	e e	11-50 11-50 11-50				3			X	2							15		
	Fitz-Klee Realty LLC		0.2 0.2	X			¥	7.00					5		ĝ.	7.57 4.5		X				Î	् ।			ं		
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	Law Office of Thomas				2	7. 7	Ž.															Н.			_			
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57	Mineral Rights Land					j.			1	<u> </u>	3					- 187 187		┸	2	_		_[1.7	_			
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SCHEDULE IV- TRANSACTIONS

Name Thanas W. Red II Page 6 of 9

Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real proparty held for investment that exceeded \$1,000. Include transactions that			Type ansa	ction		Date	Amount of Transaction									
resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset Is sold, please so Indicate (i.e., "partial sale"). Sea exampla below. Capital Gains — if a sales transaction rasulted in a capital gain in excess of \$200, chack the "capital gains" box and disclose this income on Schedule III.		PURCHASE	SALE	EXCHANGE	Check Box if Capital Gain Exceeded \$200	(MO/DAY/YR) or Quarterly, Monthly, or Bi-weekly, if applicable	\$1,001- \$15,000	\$15,001- \$50,000	\$50,001- \$100,000	\$100,001- \$250,000 III	\$250,001- \$500,000	\$500,001- \$1,000,000	\$1,000,001- \$5,000,000	\$5,000,001- \$25,000,000	\$25,000,001- \$50,000,000	Över \$50,000,000 ≯
SP, DC, JT SP	Asset Example: Mega Coporation Common Stock (partial sale)	e greeke Fren kor	X	17 5355 17 5466		101209	Arrich British	х	Allerie Herrick		radibu Wala		diser Persent		inistra History	
3F			X		X	7/1/10		X		:						
	JDS Unimhase		X		X	7/1/10	X									
	Corning, Fac. JOS Uniphase Panagex Corp. Pena Growth		У		Х	7/1/10	X							,		
	Pena Growth		У		X	7/1/10	X									
	Valence		×		Ý	7/./10	V									
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SCHEDULE V- LIABILITIES

Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the yeer. Excfude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or eppliences; liabilities of a business in which you own an interest; end liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report revolving charge accounts (i.e., credit cards) only if the balence at the close of the preceding calendar yeer exceeded \$10,000.

							Amo	ount c	f Liabl	lity			
SP, DC, JT		Creditor	Type of Liability	\$10,001 \$15,000	\$15,001- \$50,000	\$50,001 \$100,000	\$100,001- \$250,000	\$250,001- \$500,000	\$500,001- \$1,000,000	\$1,000,001- \$5,000,000	\$5,000,001- \$25,000,000	\$25,000,001- \$50,000,000	Over \$50,000,000 🛪
	Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.	a17/9/6.			Х	(* S.S.	i	1.7.34.			
	GL	c Student Loans	student loans			X							
				5.35 1.35 1.35 1.35 1.35 1.35 1.35 1.35								97ii	

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totelling more than \$335 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individuel, local meals, and gifts to e spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$134 or less need not be edded towerds the \$335 disclosure threshold.

Note: The gift rule (House Rule 25, cleuse 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	\$34 5
		<u> </u>

	Name Thomas W. Reed	, TL Page	8 of 9
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SCHEDULE VII — TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than \$335 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, If any, that was not at the sponsor's expense. Disclosure is required regerdless of whether the expenses were paid directly by the sponsor or were paid by you and reimbursed by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by e foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	City of Departure—Destination— City of Return	Lodging? (Y/N)	Food? (Y/N)	Was s Family Member Included? (Y/N)	Number of days <u>not</u> at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	DC—Chicago—DC	N	N	N	None
Ехапрісэ.	Chicago Chamber of Commerce Roycroft Corporation	Aug. 6-11	DC—Los Angeles—Cleveland	Υ	Υ	Y	2 Days
	none				-		
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Name Thomas W. Read II	þ
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Page _9_ of _9_

SCHEDULE VIII—POSITIONS

Report all positions, compensated or uncompensated, held during the current celendar year as en officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any non profit organization, any labor organization, or any educational or other institution other then the United Stetes.

Exclude: Positions listed on Schedule I; positions held in any religious, social, fraternel, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

Position	Name of Organization
Single-member	Law office of Thomas W. Reed II, PLLC
Partner	Fritz. Klee Holdings, LLC
Partner	Bending River Estates LLC
Partner	Markey Run Realty LLC
Partner	Fr. +z - Klee Realty, LLC
Director	Family Services, Inc. (non-paid volunteer)

SCHEDULE IX—AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuetion or deferrel of payments by a former or current employer other than the U.S. Government; continuing participation in an employee welfare or benefit plan maintained by e former employer; or publication of a book.

Oate	Parties To	Terms of Agreement
	none	
		·